

# REQUEST FOR PROPOSALS

## Document Imaging & Quality Control Services



Issue Date: November 20, 2023  
Letter of Intent to Respond Due: November 30, 2023  
Questions/Inquires Due: December 11, 2023  
Formal RFP Response Deadline: December 29, 2023  
Anticipated Contract Award Date: February 6, 2024  
Anticipated Start Date of Contract: March 1, 2024

City of Pinole  
Community Development & Public Works Departments  
2131 Pear Street  
Pinole, CA 94965

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# REQUEST FOR PROPOSALS

## DOCUMENT IMAGING & QUALITY CONTROL SERVICES

### I. INTRODUCTION

The City of Pinole (“City”) desires to solicit competitive proposals to procure contract services from qualified persons and/or firms, herein referred to as “Vendor”, to provide comprehensive document scanning, indexing, and quality control services for the Community Development and Public Works Departments as the City seeks to establish an updated, cohesive organization of its records system to protect its information assets and manage them more efficiently by employing systematic methods for creation, maintenance, disposition, and retrieval of official agency records.

### II. CITY PROFILE

Pinole is a bayfront community of about 19,000 residents in Contra Costa County, incorporated on June 25, 1903. The City has a land area of more than five square miles and is bordered by Hercules to the North, San Pablo and Richmond to the South, and the unincorporated areas of Tara Hills and El Sobrante to the southeast and southwest of the City. The City is divided by Interstate 80 (I-80) in that approximately 60 percent of the 7,106 total housing units are located on the north of I-80 and 40 percent of the housing units are located on the south of I-80. Pinole is known for its 'big box' shopping opportunities and has over 50 major retailers and restaurants situated within Pinole shopping centers.

Pinole has a well-defined, historic downtown, and a range of residential neighborhoods transitioning from older single-family and mixed residential districts on a traditional street grid around the downtown, to more typically suburban neighborhoods arranged around cul-de-sacs and curvilinear residential streets. Higher density apartment townhome complexes, interspersed with commercial sites, are generally located along and near major arterials.

The City operates on the City Council-City Manager system of local government with five elected council members serving four-year terms with a rotating mayor. City Hall hours of operation are 8:00 am to 4:30 pm, Monday through Thursday. City Hall is closed to the public on Fridays.

### III. BACKGROUND

Like many cities across the United States, the City of Pinole is moving towards digitizing thousands of project plans and documents from its archives. The digitization of Community Development and Public Works files will provide a wide variety of benefits to City staff, professionals, and the general public, including:

- Immediate, touchless access to digital files in the public record
- More efficient staff review
- More efficient use of space in City Hall
- Preservation of the public record

The City is seeking competitive proposals to procure contract services from qualified persons and/or firms to provide comprehensive document scanning, indexing, and quality control services for the Community Development and Public Works Departments. This will be a multi-year project and it is anticipated that the contract will include Task Orders for work in specific Departments/Divisions. For the FY23/24 fiscal year (July 1, 2023- June 30, 2024) the Community Development Department alone has budgeted \$100,000 for this work.

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## A. Letter of Intent to Respond

- All interested Vendors are encouraged to submit a Letter of Intent to Respond. Vendors who submit a Letter of Intent to Respond will be provided access to view and assess all file cabinets, file rooms, and storage rooms during a site visit meeting (arranged at Vendor’s convenience during the week of December 4, 2023).
- The deadline to submit the letter is November 30, 2023. Submitting a letter does not guarantee or replace the formal proposal process, nor does the failure to submit a letter prevent an interested firm in submitting a proposal.
- All written questions received about the RFP will be distributed in writing to all firms that submitted a Letter of Intent to Respond.
- Letters must be uploaded to the Microsoft form here: <https://forms.office.com/g/kDH8Ma8Z5j>. When you finish uploading your letter you’ll receive instructions on how to book an appointment during the week of December 4, 2023.
- Contact [LWhalen@ci.pinole.ca.us](mailto:LWhalen@ci.pinole.ca.us) if you have any questions or issues uploading your Letter.

## B. Proposal Content

Each response to this RFP shall include the information described in the Proposal Content section of this RFP.

## C. Questions and Inquires

All questions and inquiries must be submitted via email to Lilly Whalen at [LWhalen@ci.pinole.ca.us](mailto:LWhalen@ci.pinole.ca.us). The deadline to submit questions is December 11, 2023. One comprehensive response to all submitted questions will be distributed to all firms that submitted a Letter of Intent to Respond. Do not contact other individuals or City departments in this regard. Information provided by anyone other than the above contact may be invalid and proposals which are submitted in accordance with such information may be declared non-responsive.

## D. Timeline

The following table is an outline of the anticipated schedule for the proposal review and contract award. Schedule is subject to change. The selected Vendors must be available to commence work as soon as March 1, 2024 as outlined in the table below.

<b>Milestone</b>	<b>Date</b>	<b>Time</b>
<b>RFP Released for Project</b>	November 20, 2023	5pm
<b>Deadline to submit a Letter to Respond</b>	November 30, 2023	5pm
<b>Deadline to submit questions and requests for clarifications</b>	December 11, 2023	5pm
<b>Answers to Vendor questions and requests for clarifications posted</b>	December 15, 2023	5pm
<b>RFP Closing Date</b>	December 29, 2023	5pm
<b>Proposals Reviewed by City Staff</b>	January 2-12, 2024	
<b>City Council Contract Award (anticipated)</b>	February 6, 2024	
<b>Work Commences</b>	March 1, 2024	

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## E. Evaluation Criteria

The Directors of Community Development and Public Works will evaluate the proposals and determine if the proposal meets the criteria. A selection team may be formed to complete the review in order to assist the Directors, if desired by the Directors. All responses to this RFP will be reviewed and evaluated based on the information contained in the respective responses. Interviews with top Vendors may be scheduled. The City Council will make the final determination in the selection process.

The criteria upon which the evaluation of proposals will be based include, but is not limited to, the following:

- Adherence of the proposal to the guidelines specified herein
- Completeness of the proposal
- Experience and technical expertise of the Consultant's staff
- Quality and depth of references
- Experience working with public agencies
- Quality of service and responsiveness the Consultant commits to provide
- Financial stability and resources of the Consultant
- Willingness and ability to negotiate a contract acceptable to the City

## IV. SCOPE OF SERVICES

The City is requesting proposals from well qualified and experienced Vendors to provide comprehensive document imaging, indexing, and quality control services in the following manner.

### A. General Requirements

- Vendor, upon request of the City, shall be fully capable of scanning large volumes of paper documents and microfiche films quickly, accurately, and efficiently.
- Vendor shall specialize in digitizing volumes of paper documents that vary in size, color, and formatting by high-speed scanning methods to convert documents into digital images which will be stored and uploaded in document repositories (Laserfiche) and have the ability to custom build folder structures and sort files into folder structures automatically.
- For the purpose of this RFP, Vendor is invited to offer suggestions on how best to accomplish the requirements of this RFP.
- Vendor shall be responsible for carefully removing items to be scanned in drawers, cabinets, or other storage containers; boxing all documents for protection during transport to an offsite location; taking inventory prior to removal of documents.
- Depending on the document type, once electronically imaged, documents for permanent retention shall be returned to their original state (re-stapled, bound, rolled, etc.), stored in clearly labeled boxes, and returned to the City unless specifically instructed by the Project Manager. Documents that are not for marked permanent retention, once permanently scanned and tagged, may be destroyed by the Vendor upon receiving authorization from the City.

### B. Pick-Up, Delivery, and Transportation Requirements

- Pick-up and delivery are to occur according to an established schedule as agreed upon by the City and Vendor.
- Vendor must provide a proof of pick-up acknowledgment, to be signed by the Vendor and City staff.

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- Vendor must agree to provide private transport, content will never be mixed in transit with other clients.
  - Vendor to maintain documented chain of custody through an audit trail.
  - Content will not leave the State of California.

## C. Document Preparation

Vendor will prepare documentation to be scanned, including but not limited to:

- Staple and fastener removal
- Metal, plastic, twine, glue binder removal
- Industrial staple removal capability; including box and plier staples
- Fix torn pages prior to scanning

## D. Document Imaging

- Provide an estimate of hours needed to complete each component of the requested services.
- Prepare a Document Handling Plan for review.
- Develop file naming conventions for all scanned files for City review and approval.
- Prepare monthly progress reports to track number of documents scanned. Progress reports shall consist of, but not limited to: date scanned, file name, type of document, Permit#, CIP#, APN, Address, document or plan description, sheet number, plan size, drawing number, as-built date, or Plan Approved Date.
- Duplex scanned items to capture both front and back of documents when applicable. All images must be oriented correctly for viewing. Text must be readable up to the edge of the scanned item.
- All documents shall be scanned individually into PDF/A format and shall be scanned in black/white or color according to the original documents.
- Vendor will create an electronic document management system in Excel or Access containing an index database naming, to include but not limited to, Permit#, CIP#, APN, Address, document or plan description, sheet number, plan size, drawing number, As-built date, or Plan Approved Date, etc. for City's review and approval.
- **Note:** Vendors who submit a Letter of Intent to Respond will be provided access to view and assess all file cabinets, file rooms, and storage rooms during a site visit meeting, arranged at the Vendor's convenience, during the week of December 4, 2023.

## E. Laserfiche

Vendor must have ability to scan content at an offsite location directly and seamlessly into Laserfiche using an upload utility. Vendor must have equipment that directly uploads content to Laserfiche, including the ability to file directly into established folders and ability to add required metadata. Vendor shall be able to liaise with the City's Laserfiche servicer, CDI, on setting up specific retention periods for each record type scanned.

## F. Records

Examples of file types to be scanned may include, but are not limited to:

- Microfiche films
  - Building permits and plans
  - Planning case, permits, plans, and project files
  - Public works permits, plans and project files
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- Specialized studies
  - Plan rolls, folded maps, and mylar maps
  - Minutes, resolutions, and ordinances
  - Agreements, contracts, and deeds

File folders may contain flat/folded documents of varying sizes and plan rolls will vary in size from under an inch to 12” or more in diameter. Vendors may assume that most paper records are in good condition. Letter, legal, and ledger sized documents are primarily printed on standard white office paper (approximately 20lb); ANSI-C and above sized documents may be printed on paper, mylar, blueprints, sepia, or vellum.

## G. Quality Control

Vendor shall ensure the following quality control measures are employed:

- Image clean-up – Scanned documents should be de-skewed and de-speckled. Blank pages, black borders, and hole punch images are to be removed. Color images must be viewable quality so that detail in the image is captured.
- Optical character recognition (OCR) all content with guarantee of 99.5% accuracy on images and ability for 600 dpi images.
- Records shall be saved in PDF/A format.
- Once electronically imaged and the City has had an opportunity to do a QA of each image and associated indexing, record types designated as “Permanent” retention in the City’s retention schedule (**Attachment A**<sup>1</sup>), shall be returned to their original state (re-stapled, bound, rolled, etc.), filed in storage boxes clearly labeled with contents, or otherwise tagged with identification, and returned to the City, unless specifically instructed by the Project Manager.
- Once electronically imaged, tagged, and the City has had an opportunity to do a QA of each image and associated indexing and has signed off, record types designated as anything other than Permanent retention in **Attachment A**, shall be destroyed by the vendor.

Vendor shall perform a quality check of scanned images, in the following manner:

- Visual inspection of each image against the original, rescanning documents as needed;
- Manual image quality adjustment and QA for every image for clarity, legibility, quality, cut-offs, or file type compression errors;
- Ensure images are of the same or better quality than the original;
- Ensure all images are accurately indexed;
- Ensure all documents to be scanned and returned in the same order as provided, dependent on record type.

The City will perform a QA of each image and associated indexing delivered by the Vendor; if the City discovers unacceptable images, Vendor will correct all such unacceptable images at no additional cost to the City.

## H. Document Destruction

All records to be destroyed by the Vendor shall be documented and a memo listing all such records shall be transmitted to the City’s Project Manager. Only after receiving authorization from the City’s Project

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<sup>1</sup> Retention schedule to be reviewed by the Council in early 2024; if changes are enacted the selected Vendor will be provided with the new retention schedule.

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Manager following a QA process, record types designated as “To Be Destroyed” retention in Appendix A, shall be destroyed by the Vendor.

## V. PROPOSAL CONTENTS

All proposals shall be submitted in the format outlined herein. Any proposal that does not comply with the requirements in the sole opinion of the City, may be rejected. The City of Pinole will receive competitive proposal from the Vendors having specific experience and qualifications in the areas identified in this RFP. Under competitive negotiations procedures, the terms of the service contract, the price of service, the method of service delivery and the conditions of performance are all negotiable. A negotiated contract will be awarded to the vendor that best meets the proposed needs at a reasonable price, not necessarily the lowest price. To be considered for selection, submittals must include the following components in the order listed below:

- A. Table of Contents
- B. Cover Letter
- C. Experience & Qualifications
- D. References
- E. Implementation Plan
- F. Understanding of Project Scope and Detailed Work Plan
- G. Fee Schedule and Rate Structure
- H. Delivery Schedule and Timeline
- I. Required Statements/Documents

### A. Table of Contents

For organizational purposes, prepare a Table of Contents that identifies the page numbers of each section of the proposal.

### B. Cover Letter

The Cover Letter/Executive Summary shall include:

- **Company Information:** State the name, address, telephone number, website address
- **Year Company Established:** List the year the company was established.
- **Primary Contacts within the Company:** List names of key members within the Company and the main point of contact for the Vendor team.

The Cover Letter must be on Company official business letterhead stationery and be signed by an individual that is authorized to bind the Company contractually.

### C. Experience & Qualifications

Summarize the Vendor’s experience in providing imaging and indexing services; including ability to scan and index multiple mediums and protocols for handling files. List up to three (3) projects, starting with the most recent, that professional personnel have worked within the past 5 years. Include brief descriptions of the projects, contract amount, final cost, time to completion, and identify if the contract is active. Describe any other facets of the Vendor’s experience that are relevant to this proposal that warrants consideration. Relevant experience can include previous projects of similar scope and magnitude for other municipal agencies.

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## D. References

Provide a minimum of three (3) references for projects or services similar in nature and scope that Vendor's team members have completed in the last five (5) years. Include dates, client names and contact persons' names, addresses (snail and email) and telephone numbers.

## E. Implementation Plan

The Implementation Plan will document the Vendor's approach to implementing the project and include the following aspects:

- Proposed plan for phasing small batches of files, indicating the volume of files per batch, estimated number of batches and estimated timeline to scan all files for various Departments;
- Proposed staffing for project, including number of staff assigned and major roles of staff;
- Approach to ensuring efficiency in scanning batches while also ensuring the integrity of files and approach to quality control;
- Proposed methodology and approach to index files;
- Proposed approach to urgent City requests for files in the process of being scanned (explain the timeframe for retrieving the file and moving to the top of the scanning queue);
- Proposed approach to provide technical assistance and support during and after project implementation as requested by the City.

## F. Understanding of Scope and Detailed Work Plan

Each Vendor shall demonstrate its capacity to deliver comprehensive and professional imaging and indexing services. Describe the Vendor's understanding of the services requested in this RFP and a detailed work plan that demonstrates that the Vendor understands the purpose of the RFP and the City's goals, outcomes, and objectives. Identify and provide solutions for any major challenges or any issues that Vendor believes will require special consideration that may impact achieving the City's stated goals. Also identify any unique approaches or strengths that Vendor may have related to the services proposed to articulate how their capabilities are distinct, comprehensive, and add value.

Provide the following information on your approach to completing the scope of services:

- The tasks and narrative of Vendor will comply with the scope of work, and what special services and products Vendor requires to meet City needs.
- Provide an outline describing the methodology and logistics.
- A description of how Vendor provides the desired services and quality control to assure adequate level of service and successful project completion and management.
- Estimated turnaround times.
- A statement indicating the firm is independent, properly licensed to practice in California, and has no conflict of interest with regard to any other work performed by the firm for the City.

## G. Fee Schedule and Rate Structure

Vendor shall provide a fee schedule containing the features listed below:

- Rate/Fee Schedule: Provide rate and fee schedules for the scope of work. The rates shall be all inclusive and include all applicable surcharges such as taxes, insurance, and fringe benefits, as well as indirect costs, overhead, profit allowance, and ordinary materials/supplies. The rates



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shall be fixed for the duration of the project contract. The hourly rates will not be a factor in the evaluation of the proposal, but the City reserves the right to negotiate with or decline to enter into a contract with the Consultant team whose rates are deemed unreasonable in the City's sole discretion. Percentage of files that will be scanned and indexed in relation to the fees

- Cost Summary: Estimated number of hours to complete the project and hourly rate of staff involved or cost per file as applicable.
- Scanning prices should be broken down as 600 DPI Black/White, Grayscale, and Full Color scanning with the document preparation and indexing associated with each scanned item by various paper sizes (letter, legal, ledger, e-sized, ANSI-C, ANSI-D, ANSI-E and oversized documents).
- Any additional charges that may be associated with the scope of work must also be identified, including but not limited to: providing on-demand images needed prior to next day delivery, pick-up and/or deliver, transportation and/or handling of records, fuel, and mileage charges.

## H. Delivery Schedule and Timeline

Clearly outline the delivery schedule and timeline of each component of the project. Indicate in the proposed schedule the necessary involvement and various decision points required of the City. Timeline and delivery schedule should be formatted in a Gantt chart or schematic representation of the delivery timeline with pertinent milestones and events is required in this section.

## I. Required Statements/Documents

Include statements of assurance regarding the following requirements:

1. Disclose any actual, apparent, direct or indirect, or potential conflicts of interest that may exist with respect to the Vendor, management, or employees relative to the services to be provided under the Agreement. Vendor must disclose any real or apparent conflict of interest associated with this project or with working for the City of Pinole. If a Vendor has no conflicts of interest, a statement to that effect shall be included in the Proposal.
2. Ability and agreement to fulfill the indemnification and insurance requirements contained in the sample contract.
3. A statement that nothing contained in the submitted proposal will be proprietary.
4. Acknowledgement that the Vendor understands that all documents submitted to the City in connection with the proposal are subject to the California Public Records Act and may be disclosed without notice to the Vendor.
5. A description of any and all proposed exceptions, alterations or amendments to the Scope of Services or other requirements of this RFP, including the Standard Contract (**Attachment B**).
6. List and explain any pending bankruptcies, liens, stop payment notices, judgments, lawsuits, arbitrations, mediations, foreclosures, and any similar actions filed or resolved in the past seven (7) years. Please indicate whether a client has ever terminated a contract for breach, and if so, please explain.

## VI. GENERAL TERMS AND CONDITIONS

1. The City is not liable for any expenses incurred by any proposer prior to issuing the contract.
2. The Vendor, once selected, is required to submit monthly billings.
3. The Vendor selected for the project must obtain a City business tax certificate and maintain liability and workers compensation insurance coverage in accordance with the City Professional Services Agreement template, attached.
4. All work product generated by the Agreement will be owned by the City.

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5. This solicitation for proposals does not commit the City to enter a contract or to pay any costs incurred in the preparation of the proposal.
  6. The City reserves the right to accept or reject any and all proposals, and to negotiate with any and all qualified Vendors, or to cancel in part or in its entirety this RFP.
  7. The City reserves the right to accept any proposal received, to reject any or all proposals, in whole or in part, to waive irregularities, formalities, or both, as deemed appropriate, to request clarification of any submittal, and to negotiate with the preferred Vendor to provide the requested services.
  8. The City hereby notifies all Vendors that no person will be excluded from participation in, denied any benefits of, or otherwise discriminated against in connection with the award and performance of any contract on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, sex, age, sexual orientation, ethnicity, or veteran status.
  9. Once the Vendor is selected, the City and the Vendor will execute the City's Professional Services Agreement, which will set forth the scope of work, the estimated time schedule, and the applicable rates and reimbursements.
  10. All proposals submitted in response to this RFP will become the property of the City upon submission and a matter of public record pursuant to applicable law (including the California Public Records Act, Government Code section 6250 and following). The City reserves the right to make copies of all proposals available for inspection and copying by interested members of the public as records of the City and the City will be under no obligation to the Vendor to withhold such records. Insofar as a proposals contains information that the Vendor regards as proprietary and confidential, it is the responsibility of the Vendor (and not the City) to specifically identify which items of information are proprietary and clearly identify in writing which specific pieces of information are proprietary. It will be insufficient for the Vendor to merely identify the entire proposal or an entire page or set of pages of proprietary information. Not-to-exceed sums, hourly rates and the like that may be set forth in the proposal will not constitute proprietary information nor will any information readily available to the general public or any other information not regarded as proprietary and confidential under federal or state law.

## ADDRESS PROPOSALS AND QUESTIONS TO:

Lilly Whalen  
Community Development Director  
[LWhalen@ci.pinole.ca.us](mailto:LWhalen@ci.pinole.ca.us)  
(510) 724-9832

**PROPOSALS ARE DUE ON DECEMBER 29 2023 BY 5PM  
SUBMIT VIA EMAIL ONLY TO:**

**[LWhalen@ci.pinole.ca.us](mailto:LWhalen@ci.pinole.ca.us)**

**All proposals must remain firm for a period of ninety (90) days following the last day to accept proposals.**

**ATTACHMENT A:**  
**CITY'S ADOPTED RETENTION SCHEDULE**

# City of Pinole

## Records Retention Schedule

05/20/2019 5:14:22 PM

This report is valid for 30 days from the printing date. Older copies must be destroyed.

Active Ret.

Total Ret.

### 01-00-00 City Management & Administration Function

#### 01-01-00 General City Management Group

01-01-01 Correspondence & Reports - External	General correspondence to entities outside of the City. Does not include correspondence associated with a specific program located in another record series. Review record series annually.  Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines	CY+2	<b>CY+2</b>
01-01-02 Correspondence & Reports - Internal	General correspondence to departments or divisions within the City. Does not include correspondence associated with a specific program located in another record series. Review record series annually.  Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines	CY+2	<b>CY+2</b>
01-01-03 Goals/Objectives	Goals and objectives for city activities.  Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines	SUP	<b>SUP+2</b>
01-01-04 Administrative Policies & Procedures	Administrative Policies only; not those approved by Council (see 03-01-04).  Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.	SUP	<b>SUP+5</b>
01-01-05 Staff Meetings		EY	<b>EY+2</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+ [Number] - Plus X years/months

Page 1

## 01-00-00 City Management & Administration Function

### 01-01-00 General City Management Group

		Active Ret.	Total Ret.
	Departmental staff meetings and meeting notes for non-formal meetings. Non-agenda related reports and supporting documentation.	EY	EY+2
	Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines		
01-01-06 Calendars/Schedules	Management meeting schedules, calendars, etc. not associated with a board, commission or committee, or the city council.	EY+1	EY+2
	Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines		
01-01-07 Reports, Studies & Surveys	Reports or studies prepared by outside agencies.	EY+2	EY+2
	Citations: GC 34090; 2 year minimum Administrative Reference Record; maintain while necessary Review for relevance to current projects or for reference purposes.		
01-01-08 Audits	Departmental audits, internal & external. Not related to financial audits.	EY+2	EY+2
	Citations: GC34090; 2 year minimum State of California Guidelines; Audit completion plus 4 years		
01-01-09 Administrative Hearings	Documentation created and or received in connection with an audit hearing or review.	EY+2	EY+2
	Citations: GC34090; 2 year minimum State of California Guidelines; Audit completion plus 2 years		
01-01-10 Schools & Educational Institutions		CY+2	CY+2

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**01-00-00 City Management & Administration Function**01-01-00 General City Management Group

General information on schools and educational institutions. CY+2    **CY+2**

Citations:  
GC 34090; 2 year minimum  
Administrative Record, State of California Guidelines

01-01-11 Exemptions CY+2    **CY+2**

Exemptions/Exceptions To Code  
1. Mandatory Garbage Service

01-02-00 Office Reference Group

01-02-01 Chronological Files ACT    **ACT**

Chronologically filed correspondence & reports. Used for reference purposes only.

Citations:  
GC 34090.7; Duplicates may be destroyed within the 2 year minimum period.  
Administrative Record, State of California Guidelines

01-02-02 Professional Associations/Organizations CY+2    **CY+2**

General correspondence, meeting notices, annual reports, working documents.

GC 34090d; 2 year minimum requirement  
Administrative Record, State of California Guidelines

01-02-03 Community Organizations/Foundations CY+2    **CY+2**

General correspondence, meeting notices, annual reports, working documents.

GC 34090d; 2 year minimum requirement  
Administrative Record, State of California Guidelines

01-02-04 Fee Schedules - Outside Services SUP    **SUP**

Citations:  
GC 34090.7; Duplicates and reference materials may be destroyed within the 2 year minimum.

01-02-05 Complaint Files AC    **AC+7**

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

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LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**01-00-00 City Management & Administration Function**01-02-00 Office Reference Group

		Active Ret.	Total Ret.
	Complaints by and/or against the City. Includes citizens complaints. Does not include administrative employee or public service employee complaints. Complaints kept electronically in Everest tracking system.	AC	<b>AC+7</b>
	Citations: 42 USC 1983; Settlement of complaint plus 7 years		
01-02-06 Mailing Lists	Citations: RCS Suggestion; Maintain current mailing lists only. Reference materials.	SUP	<b>SUP</b>
01-02-07 Community Information/Newsletters	Check documents for historical/archival value. Review series annually.	CY+2	<b>CY+2</b>
	Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines		
01-02-08 Community Events	Check documents for historical/archival value. Review series annually.	EY+2	<b>EY+2</b>
	Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines		
01-02-09 Historical Information/Events	Check documents for historical/archival value. Review series annually.	CY+2	<b>PERM</b>
	Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines RCS Suggestion; Retain permanently for historical value		
01-02-10 Public Relations Information/Handouts/Speeches/Biographies	Check documents for historical/archival value. Review series annually.	EY+2	<b>EY+7</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 7		
01-02-11 Technical Reference		SUP	<b>SUP</b>

**Legend:** AA - After audit

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AT - After termination

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CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 4

**01-00-00 City Management & Administration Function**01-02-00 Office Reference Group

SUP SUP

Technical references, manuals, guidelines and reference materials for general office management and equipment.

Citations:  
Administrative Record, State of California Guidelines; Reference documents and books, no required retention.

## 01-02-12 Dues/Subscriptions

CY+2 CY+2

Citations:  
GC 34090; 2 year minimum  
Administrative Record, State of California Guidelines

01-03-00 Records Management Program Group

## 01-03-01 UFIRST Index

SUP SUP

Current version of the Uniform Functional Index of Record Series Terminology. Printed versions of this document should be kept no longer than 30 days after printing. Destroy old versions promptly.

Citations:  
RCS Suggestion; Retain current version only. Destroy printed versions older than 30 days, due to potential updates.

## 01-03-02 Inactive Records and Archives

SUP+2 SUP+2

Inventories and indices of inactive records.

Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; 2 years after superseded

## 01-03-03 Active Filing Systems

SUP+2 SUP+2

Current guidelines and indices of active records systems.

Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; 2 years after superseded

## 01-03-04 Retention Scheduling

SUP+4 SUP+4

Includes all approved records retention schedules, research and working documents.

Citations:  
CCP 343; 4 years to commence action

**Legend:** AA - After audit

CM - Current month

LOB - Life of board, commission or committee

REV - Review prior to destruction

Page 5

AC - After closure/completion/correction

CY - Current year

LOS or LOE - Life of system/equipment

S or SUP - Until superceded

AE - After expiration

EY - Event year

PERM - Permanent

+[Number] - Plus X years/months

AT - After termination



**01-00-00 City Management & Administration Function**01-03-00 Records Management Program Group

01-03-05 Certificates of Destruction	Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after superseded RCS Suggestion; Permanent for destruction tracking purposes.	PERM	<b>PERM</b>
01-03-06 Directives & Procedures	Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.	SUP+5	<b>SUP+5</b>
01-03-07 Microform Information	Inventory and indices of microfilmed materials  Citations: GC 34090; 2 years minimum	SUP+2	<b>SUP+2</b>
01-03-08 Vital Records Protection Program	Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after superseded	SUP+2	<b>SUP+2</b>
01-03-09 Public Records Requests	Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after completion AC + 6 yrs. - for State of CA Reimbursement Audit under SB 90 must retain backup records.	AC	<b>AC+6</b>

01-04-00 Forms, Labels & Graphics Management Group

01-04-02 Blank Forms	Citations: Administrative Record, State of California Guidelines	SUP	<b>SUP</b>
01-04-03 Form Letters	Citations: Administrative Record, State of California Guidelines	SUP	<b>SUP</b>
01-04-04 Form Masters & Originals	Citations: Administrative Record, State of California Guidelines	SUP	<b>SUP</b>
01-04-05 Label Design	Citations: Administrative Record, State of California Guidelines	SUP	<b>SUP</b>
01-04-06 Forms Development		PERM	<b>PERM</b>

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# 01-00-00 City Management & Administration Function

## 01-04-00 Forms, Labels & Graphics Management Group

History of form development, versions and revisions.

PERM

**PERM**

Citations:

GC 34090; 2 years minimum

Administrative Decision; Permanent

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**02-00-00 City Clerk's Function**02-01-00 City Council Group

02-01-01 Agenda / Notices	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 10 years for reference purposes.	CY+15	<b>CY+15</b>
02-01-02 Minutes	Official Minutes of the City Council  Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent DVD's - 15 years (Executive Decision)	PERM	<b>PERM</b>
02-01-03 Meeting Schedules	Citations: GC 34090; 2 years minimum	CY+2	<b>CY+2</b>
02-01-04 Council Agenda Packets	Includes staff reports to council and redevelopment agency. Agendas from 2003 forward inventoried on Versatile. Complete Packets exist from 1993 in paper form in Clerks Office. 2006 forward are stored electronically on the J drive.  Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 Administrative Decision: Current Year plus 15 years for reference purposes.	CY+15	<b>CY+15</b>
02-01-05 Confidential Memos	Confidential Memos to Council.  Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 Administrative Decision: Current Year plus 10 years for reference purposes.	CY+ 2	<b>CY+ 10</b>
02-01-06 Record Series Available for Use	This record series is available for use.		
02-01-07 Commendations / Proclamations		EY+2	<b>EY+2</b>

**Legend:** AA - After audit

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**02-00-00 City Clerk's Function**02-01-00 City Council Group

Maintained electronically. Proclamations not assigned to a resolution or ordinance number. EY+2    **EY+2**

Citations:  
GC 34090; 2 years minimum  
GC 6253; Public records

02-01-08 Petitions To Council CY+2    **CY+2**

Petitions submitted to legislative bodies. Does not include petitions for elections.

Citations:  
GC 34090; 2 years minimum  
GC 50115; 1 year for non-election related petitions  
GC 6253; Public records  
State of California Guidelines; Current year plus 1 years

02-01-09 Minutes-Successor Agency REV    **REV**

Successor Agency Minutes are incorporated in City Council Minutes.

02-02-00 Boards, Commissions & Committees Membership Group

02-02-01 Design Review Board LOB+1    **LOB+5**

Selected applications to boards, commissions and committees.

Citations:  
GC 34090; 2 years minimum  
GC 40801; Maintain  
State of California Guidelines; 5 years after board, commission or committee is dissolved.

02-02-02 Planning Commission LOB+1    **LOB+5**

Selected applications to boards, commissions and committees.

Citations:  
GC 34090; 2 years minimum  
GC 40801; Maintain  
State of California Guidelines; 5 years after board, commission or committee is dissolved.

02-02-03 Youth Commission LOB+1    **LOB+5**

**Legend:** AA - After audit

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Page 9

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S or SUP - Until superceded

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EY - Event year

PERM - Permanent

+[Number] - Plus X years/months

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**02-00-00 City Clerk's Function**02-02-00 Boards, Commissions & Committees Membership Group

	Selected applications to boards, commissions and committees.	LOB+1	<b>LOB+5</b>
	Citations: GC 34090; 2 years minimum GC 40801; Maintain State of California Guidelines; 5 years after board, commission or committee is dissolved.		
02-02-04 Community Services Commission / formerly Parks & Recreation Commission	Selected applications to boards, commissions and committees.	LOB+1	<b>LOB+5</b>
	Citations: GC 34090; 2 years minimum GC 40801; Maintain State of California Guidelines; 5 years after board, commission or committee is dissolved. *Community Service Commission established 04/15/2008 (Ord. 2008-01		
02-02-05 Commission on Aging	Selected applications to boards, commissions and committees.	LOB+1	<b>LOB+5</b>
	Citations: GC 34090; 2 years minimum GC 40801; Maintain State of California Guidelines; 5 years after board, commission or committee is dissolved.		
02-02-06 Cable TV Commission	Selected applications to boards, commissions and committees.	LOB+1	<b>LOB+5</b>
	Citations: GC 34090; 2 years minimum GC 40801; Maintain State of California Guidelines; 5 years after board, commission or committee is dissolved.		
02-02-07 Human Relations Commission		LOB+1	<b>LOB+5</b>

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LOS or LOE - Life of system/equipment

PERM - Permanent

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+[Number] - Plus X years/months

**02-00-00 City Clerk's Function**02-02-00 Boards, Commissions & Committees Membership Group

Selected applications to boards, commissions and committees. LOB+1 **LOB+5**

Citations:  
GC 34090; 2 years minimum  
GC 40801; Maintain  
State of California Guidelines; 5 years after board, commission or committee is dissolved.

02-02-08 Other Boards, Commissions, Committees & Subcommittees LOB+1 **LOB+5**

Selected applications to boards, commissions and committees.  
Citations:  
GC 34090; 2 years minimum  
GC 40801; Maintain  
State of California Guidelines; 5 years after board, commission or committee is dissolved.

02-02-09 Unselected Candidates CY+2 **CY+2**

Unselected candidate applications for boards, commissions and/or committees.  
Citations:  
GC 34090; 2 years minimum  
GC 40801; Maintain  
State of California Guidelines; 2 years after completion

02-02-10 Dissolved Commissions & Committees Minutes PERM **PERM**

Only includes minutes and agendas.  
Citations:  
GC 34090; 2 years minimum  
GC 36814; Maintain record of proceedings  
GC 40801; Maintain record of proceedings  
State of California Guidelines; Permanent  
Administrative Decision; Permanent for agendas and minutes.

02-03-00 Elections Group

02-03-01 Municipal Elections EY+2 **EY+10**

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination  
CM - Current month  
CY - Current year  
EY - Event year  
LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent  
REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**02-00-00 City Clerk's Function**02-03-00 Elections Group

EY+2

**EY+10**

Proof of publication and copies of documents kept 2 Years After Election. Unsuccessful candidate election files are retained five years (pursuant to retention period for Campaign Contribution Reporting Forms (Form 410, 460, etc.)

Any original canvass information is kept PERMANENTLY, including records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results; special election results

Historical information, such as samples of the ballot, resolutions, and certificates of destruction of election materials are kept PERMANENTLY.

Records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results, special election results are kept 10 Years After Election Closes, since originals are kept with the County.

## Citations:

EC 17000-1; Affidavits 5 years

EC 17100; 4 years after expiration of term, nomination documents and signatures

EC 17200; 8 months after election closes for initiative and referendum petitions

EC 17300; 5 years after election for election rosters

EC 17302-6; 6 months after election, if no contest, for election records

GC 34090; 2 years minimum

GC 34458 through 34460; Maintain in archives

GC 81009; Campaign Statements, retention varies

Administrative Decision: 10 years after election closes

## 02-03-02 Initiative/Referendum/Recall

AC+.75

**AC+.75****Legend:** AA - After audit

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+[Number] - Plus X years/months

**02-00-00 City Clerk's Function**02-03-00 Elections GroupAC+.75 **AC+.75**

Petitions are kept 9 Months After Election Closes.

## Citations:

EC 17200; 8 months after election closes for initiative and referendum petitions  
 EC 17400; 8 months after election/final examination for election recall petitions

## 02-03-03 Nomination Papers/Candidates Statements

AE+2 **AE+4**

Successful nominations.

Unsuccessful nominations are kept 2 Years After Election Closes.

## Citations:

EC 17100; 4 years after expiration of term, nomination documents and signatures.  
 State of California Guidelines; 2 years after election closes for unsuccessful nominations.

## 02-03-04 Record Series Available for Use

## 02-03-05 Political Action Groups

AC+2 **AC+7**

Includes Political Action Committees supporting measure and/or initiatives, and any other campaign filings not listed. Citations refer to FPPC filings.

## Citations:

GC 81009c; all other committees, 7 years after election closes  
 State of California Guidelines; Unsuccessful, 7 years after election closes  
 RCS Comment; Closure plus 7 may refer to SOLs not listed in 81009.  
 Potentially under CCP 300 series.

02-04-00 Insurance & Risk Management Group

## 02-04-01 Certificates of Insurance

AE+2 **PERM**

Certificates of participation for liability and property insurance, deferred insurance information, and use of facilities.

## Citations:

GC 34090; 2 years minimum  
 State of California Guidelines; Permanent

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+[Number] - Plus X years/months



**02-00-00 City Clerk's Function**02-04-00 Insurance & Risk Management Group

## 02-04-02 City Policies

Includes information pertaining to insurance programs (pooled liability, property, public official bond, workers compensation, identity theft, etc.), damage claims involving City employees, personal and damage claims against the City.

PERM

**PERM**

## Citations:

CCP 337.2 & 343, Statutes of limitations, 10 years  
State of California Guidelines; Permanent

## 02-04-03 Liability Reports

Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement)

CY+2

**CY+7**

## Citations:

29 CFR 1904.37; Maintain records for on the job injuries (OSHA)  
29 CFR 1904.6-7; Maintain records for on the job injuries  
State of California Guidelines; Current Year plus 7 years.

## 02-04-04 Series Available for Use

## 02-04-05 Employee Bonds

Employee fidelity bonds

AE+2

**AE+2**

## Citations:

GC 34090; 2 years minimum  
State of California Guidelines; Termination or separation plus 2 years

**Legend:** AA - After audit

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+[Number] - Plus X years/months

## 03-00-00 Legal & Legislative Function

### 03-01-00 Legislative Group

03-01-01 Ordinances	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent	PERM	<b>PERM</b>
03-01-02 Resolutions	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent	PERM	<b>PERM</b>
03-01-03 State & Federal Legislation	Citations: GC 34090.7; Duplicates and copies of information used as reference may be destroyed within the 2 year minimum period.	SUP	<b>SUP</b>
03-01-04 Council Policies	Policies/programs approved by Council  Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.	SUP	<b>SUP+5</b>
03-01-05 Municipal Code	Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent	PERM	<b>PERM</b>
03-01-06 Ordinances - Redevelopment Agency	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent	PERM	<b>PERM</b>
03-01-07 Resolutions - Redevelopment Agency	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent	PERM	<b>PERM</b>
03-01-08 Resolutions-Successor Agency		PERM	<b>PERM</b>

### 03-02-00 Agreements/Contracts/Memos of Understanding Group - General

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 15
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+[Number] - Plus X years/months	
	AT - After termination				

## 03-00-00 Legal & Legislative Function

### 03-02-00 Agreements/Contracts/Memos of Understanding Group - General

03-02-01 General Contracts - City	<p>General city agreements and contracts.</p> <p>Does not includes Capital Improvement Project Construction agreements and contracts, which are kept PERMANENTLY. See Capital Improvement Projects for citations.</p> <p>Citations: CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4; 5 years for procurements exceeding \$25,000</p>	AE+2	<b>AE+5</b>
03-02-02 General Contracts - Redevelopment Agency	<p>General RDA agreements and contracts.</p> <p>Does not includes Capital Improvement Project Construction agreements and contracts, which are kept PERMANENTLY. See Capital Improvement Projects for citations.</p> <p>Citations: CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4; 5 years for procurements exceeding \$25,000</p>	AE+2	<b>AE+5</b>
03-02-03 Promissory Notes	<p>Original in Safe Deposit. Notes in favor of the city.</p> <p>Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition State of California Guidelines; Closure plus 3 years for loans</p>	AC+2	<b>AC+4</b>
03-02-04 Lease Agreements	<p>Citations: CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4; 5 years for procurements exceeding \$25,000</p>	AE+2	<b>AE+5</b>
03-02-05 Lease Agreements - Pinole Vista Shopping Center			

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**03-00-00 Legal & Legislative Function**03-02-00 Agreements/Contracts/Memos of Understanding Group - General

This Record Series is no longer in use. Discussions with the RDA staff have determined that they are not part of Pinole's records since the City/Agency is not a party to the individual leases (between tenant and TKG, the property manager). All files in this series were aged beyond the five year term, and were destroyed on 11/7/2005.

3/1/08 - Re-established use of this series.

03-02-06 Bond Agreements - Tax Allocation

Final bond documentation.

AE+2

**AE+10**

Citations:

GC34090; 2 year minimum

CCP 337.5 Statute of limitations

State of California Guidelines; 10 years after closure

03-02-07 Land / Property Files

Does not include contracts and agreements for Capital Improvement Projects.

AC+5

**PERM**

Citations:

GC 34090(a); Permanent for property related records

State of California Guidelines; Permanent

03-02-08 Lease Agreements - Pinole Valley Shopping Center

11/7/2005. This Record Series deemed no longer in use by recommendation of RDA staff, having determined that leases are not part of Pinole's records - the Agency is not a party to the individual leases (between tenant and TKG, the property manager). All files in this series were aged beyond the five year term, and were destroyed on 11/7/2005.

10/10/07 With the renovation of the PVSC, retention of electronic records are being maintained for reference use only. The Agency is still not a party to the lease, but refer to the documents often.

03-02-09 Franchise Agreements

Citations:

CCP 337.2; Statutes of limitations

CCP 343; Statutes of limitations

48 CFR 4; 5 years for procurements exceeding \$25,000

State of California Guidelines; Permanent

AE+2

**PERM**

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Page 17

**03-00-00 Legal & Legislative Function**03-02-00 Agreements/Contracts/Memos of Understanding Group - General

03-02-10 Subdivision/Development Agreements	Retention period assigned 7/6/04. Includes infrastructure contracts and franchises.  Working papers may be retained for the Current Year + 2  Citations: GC 34090a, Real property records, maintain CCP337, 337.1(a), 337.15; Statutes of limitations 48 CFR 4.703; 3 years after final payment 48 CFR 4.705; 4 years after completion for accounting, payroll, purchasing records, et. al. GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions.	PERM	<b>PERM</b>
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03-03-00 City Attorney Group

03-03-01 Legal Opinions	Citations: GC 34090; 2 year minimum GC 6254; Disclosure of records	SUP+2	<b>SUP+2</b>
03-03-02 Topical Reference	Citations: GC 34090; 2 year minimum	CY+2	<b>CY+2</b>

03-04-00 General Legal Group

03-04-01 Claims By/Against the City	Claims paid or denied  Citations: GC 34090; 2 year minimum 42 USC 1983; Definitions GC 25105.5; 5 years after closure/completion 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. GC 910 - 913; 6 months to 1 year after event occurs. State of California Guideline; 5 years after settlement or closure	AC+2	<b>AC+6</b>
03-04-02 Deeds		PERM	<b>PERM</b>

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**03-00-00 Legal & Legislative Function**03-04-00 General Legal Group

		Active Ret.	Total Ret.
	Citations: GC 34090(a); Permanent for land and property related documents 24 CFR 570.502; 4 years after final report submission for CDBG 24 CFR 1710; Permanent	PERM	PERM
03-04-03 Annexations	Includes reports, agreements, public notices.  Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	PERM	PERM
03-04-04 Abandonments/Vacations	Includes buildings, condemnations and demolitions.  Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	PERM	PERM
03-04-05 Assessment Districts	Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	PERM	PERM
03-04-06 Closed/Sold Land Property Files	The retention period in this series has been revised 2005. Files deemed to retain Permanently, are indicated as such.  Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	AC+ 2	PERM
03-04-07 Easements	Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	PERM	PERM
03-04-08 Notices of Completion	For Public Works projects.  Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent (CEQA)	PERM	PERM

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**03-00-00 Legal & Legislative Function**03-04-00 General Legal Group

03-04-09 Legal Notices	Includes public notices and legal publications for council, boards, commissions and committee meetings, and other legal publication requirements.  Citations: GC 34090; 2 year minimum CCP 343, 349; Statutes of limitations	EY+4	<b>EY+4</b>
03-04-10 Liens & Releases	Recorded Liens, Public Nuisance Lien.  Supporting information may be destroyed 2 years after settlement/closure.  Garbage liens, filed in favor of the sanitation department become an assessment on the property tax if not paid by the next tax year, therefore those files need not be kept permanently, but rather 7 years plus current.  Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent for recorded liens.	PERM	<b>PERM</b>
03-04-11 Subpoenas	Citations: GC 34090; 2 year minimum State of California Guidelines; Current Year plus 2 years for copies of subpoenas.	EY+2	<b>EY+2</b>
03-04-12 Quitclaim Deeds	Duplicates. Originals held with county.  Citations: GC 34090(a); Permanent for land and property related documents 24 CFR 570.502; 4 years after final report submission for CDBG 24 CFR 1710; Permanent	PERM	<b>PERM</b>
03-04-13 Litigation	Citations: GC 34090; 2 year minimum State of California Guidelines; Closure plus 1 year, since final verdict is recorded at the courts.	AC + 2	<b>AC + 10</b>
03-04-14 Lot Line Adjustments		PERM	<b>PERM</b>

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Page 20

**03-00-00 Legal & Legislative Function**03-04-00 General Legal Group

		Active Ret.	Total Ret.
	Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	PERM	PERM
03-04-15 Acquisitions/Dedications	Citations: GC 34090; 2 years minimum GC 6254; Record disclosure State of California Guidelines; Completion/expiration + 10 years	AC+2	AC+10
03-04-16 Miscellaneous Recorded Documents	Citations: GC 34090(a); Permanent for land and property records State of California Guidelines; Permanent	PERM	PERM

03-05-00 Agencies/Other Cities Group

03-05-01 Federal Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Retention is Current Year + 2 with Review for content.  Citations: GC 34090; 2 year minimum State of California Guidelines; Administrative Record	CY+2	CY+2
03-05-02 State Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Retention is Current Year + 2 with Review for content.  Citations: GC 34090; 2 year minimum State of California Guidelines; Administrative Record	CY+2	CY+2
03-05-03 Regional/National Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Retention is Current Year + 2 with Review for content.  Citations: GC 34090; 2 year minimum State of California Guidelines; Administrative Record	CY+2	CY+2
03-05-04 County Agencies		CY+2	CY+2

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**03-00-00 Legal & Legislative Function**03-05-00 Agencies/Other Cities Group

Correspondence & reports not attached to contracts, agreements or specific projects. Retention is Current Year + 2 with Review for content. CY+2 **CY+2**

Citations:  
GC 34090; 2 year minimum  
State of California Guidelines; Administrative Record

03-05-05 Adjacent Cities CY+2 **CY+2**

Correspondence & reports not attached to contracts, agreements or specific projects. Retention is Current Year + 2 with Review for content.

Citations:  
GC 34090; 2 year minimum  
State of California Guidelines; Administrative Record

03-05-06 Special Districts CY+2 **CY+2**

Correspondence & reports not attached to contracts, agreements or specific projects. Retention is Current Year + 2 with Review for content.

Citations:  
GC 34090; 2 year minimum  
State of California Guidelines; Administrative Record

03-06-00 Fair Political Practices Commission Group

03-06-01 Statement of Economic Interest - Form 700, Elected & Designated CY+7 **CY+7**

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

## 03-00-00 Legal & Legislative Function

### 03-06-00 Fair Political Practices Commission Group

		CY+7	CY+7
	Includes all FPPC forms and schedules for all designated positions as stated in the City's conflict of interest code, including consultants. City Clerk is the Filing Officer and retains the original forms and schedules.		
	Citations: GC 81009b & e; 4/7 years after completion of term		
	(d) Original statements of economic interests of persons holding statewide elective office shall be retained by filing officers indefinitely.		
	(e) Original reports and statements not specified above in this section shall be retained by filing officers for a period of not less than seven years.		
	(f) Copies of reports or statements shall be retained by the officer with whom they are filed for a period of not less than four years, provided, however, that a filing officer is not required to retain more than one copy of a report or statement		
	State of California Guidelines; 7 years after completion of term for designated, 4 years after completion of term for elected.		
03-06-02 Forms & Handouts	Blank FPPC forms and handouts	SUP	SUP
	Citations: Administrative Record, State of California Guidelines		
03-06-03 Statement of Economic Interest - Form 700, Not Elected	Includes all FPPC forms and schedules for unsuccessful candidates not elected.	AC+2	AC+7
	Citations: GC 81009; 5 years after election closes. State of California Guidelines; Closure of election plus 5 years for non-elected candidates.		
03-06-04 Campaign Disclosure Statements - Form 400 Series, Elected		PERM	PERM

**Legend:** AA - After audit

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REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

## 03-00-00 Legal & Legislative Function

### 03-06-00 Fair Political Practices Commission Group

		PERM	PERM
	Includes all FPPC form 400 series, etc for elected officials and committees supporting elected officials. Includes oaths of office.		
	Citation: GC 81009b; Elected officials, permanent GC 34090.5 - paper copy is retained for minimum of two years; the record is scanned into a permanent electronic format (SIRE) and an electronic back up copy (or the paper file) is retained.		
03-06-05 Campaign Disclosure Statements - Form 400 Series, Not Elected & PACS	Form 400 series for candidates not elected to office, including offices of mayor, city council members, and candidates for these offices, and political action committees supporting these positions.	AC+2	<b>AC+5</b>
	Citations: GC 81009b, nominated candidates not elected, 5 years after election closes		
03-06-06 Campaign Disclosure Statements - Form 400 Series, Unsuccessful	Form 400 series for items not elected or passed, including ballot measures, general purpose committees and political action committees supporting these measures and committees.	AC+2	<b>AC+7</b>
	Citations: GC 81009c; all other committees, 7 years after election closes State of California Guidelines; Unsuccessful, 7 years after election closes RCS Comment; Closure plus 7 may refer to SOLs not listed in 81009. Potentially under CCP 300 series.		
03-06-07 Ethics Training; Mandated AB 1234	Includes training materials, registration and compliance log of elected officials. Certificates are located in each officials folder.	AC+2	<b>AC+5</b>
	G.C. 53235.2 requires a local agency officials that requires local officials to complete training to maintain the following records: (1) The dates that local officials satisfied the requirements of this article. (2) The entity that provided the training. (b) Notwithstanding any other provision of law, a local agency shall maintain these records for at least five years after local officials receive the training. These records are public records subject to disclosure under the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1).		

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+[Number] - Plus X years/months

## 03-00-00 Legal & Legislative Function

### 03-06-00 Fair Political Practices Commission Group

03-06-08 Form 801/802 -Gifts-Tickets To Public Agency	Includes a copy of the Form 801 or 802 which must be posted on the City website and retained for 4 years after receipt.  801 - This form is for use by all local government agencies to disclose payments made to the agency when the payments provide a personal benefit to an official of the agency 802 - This form is to disclose the distribution of tickets or passes that allow admission to facilities, events, shows, or performances for entertainment, amusement, recreational, or similar purposes.	AC+4	<b>AC+4</b>
03-06-09 Form 806 Public Official Appointments	Includes a copy of the Form 806 which must be posted on the City website prior to a vote of the governing board on the appointment.	AC+4	<b>AC+4</b>

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CY - Current year  
EY - Event year

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LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

## 04-00-00 Human Resources Function

### 04-01-00 Personnel Data Group

#### 04-01-01 Full Time Employees

All personnel related materials and correspondences, includes life insurance enrollment form. Does not include medical leave records, worker's compensation or PERS information. ACTIVE RETAINED IN PAPER AND UPON TERMINATION, FILES ARE IMAGED IN SIRE (09-11-09)

PERM

**PERM**

#### Citations:

GC 60201d(12); 7 years after payment for employees  
 29 CFR 1627.3 - 4; 3 years after termination  
 29 CFR 1602.30 - 32; 2 - 3 years after termination  
 29 CFR 1650.202; 10 years from date of action for tax payments  
 29 CFR 516.5 - 6; 3 years after action  
 29 USC 1113; 6 years after date of last action  
 GC 12946; 2 years after termination or action  
 State of California Guidelines; 10 years after termination

Administrative Decision: Permanent

#### 04-01-02 Part Time Employees

All personnel related materials and correspondences. Does not include medical leave records, worker's compensation or PERS information.

PERM

**PERM**

#### Citations:

GC 60201d(12); 7 years after payment for employees  
 29 CFR 1627.3 - 4; 3 years after termination  
 29 CFR 1602.30 - 32; 2 - 3 years after termination  
 29 CFR 1650.202; 10 years from date of action for tax payments  
 29 CFR 516.5 - 6; 3 years after action  
 29 USC 1113; 6 years after date of last action  
 GC 12946; 2 years after termination or action  
 State of California Guidelines; 10 years after termination

Administrative Decision: Permanent

#### 04-01-04 Temporary/Seasonal Employees

PERM

**PERM**

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**04-00-00 Human Resources Function**04-01-00 Personnel Data Group

PERM

**PERM**

All personnel related materials and correspondences. Does not include medical leave records, worker's compensation or PERS information.

## Citations:

GC 60201d(12); 7 years after payment for employees  
 29 CFR 1627.3 - 4; 3 years after termination  
 29 CFR 1602.30 - 32; 2 - 3 years after termination  
 29 CFR 1650.202; 10 years from date of action for tax payments  
 29 CFR 516.5 - 6; 3 years after action  
 29 USC 1113; 6 years after date of last action  
 GC 12946; 2 years after termination or action  
 State of California Guidelines; 10 years after termination

Administrative Decision: Permanent

## 04-01-05 Terminated Employees

THIS CATEGORY WAS REMOVED FROM USE JAN 2010- R-2010-01. All employee files are retained under Record Series 04-01-01 or -02, both active or terminated. When employees terminate, the files are scanned into SIRE for permanent retention.

PERM

**PERM**

## Citations:

GC 60201d(12); 7 years after payment for employees  
 29 CFR 1627.3 - 4; 3 years after termination  
 29 CFR 1602.30 - 32; 2 - 3 years after termination  
 29 CFR 1650.202; 10 years from date of action for tax payments  
 29 CFR 516.5 - 6; 3 years after action  
 29 USC 1113; 6 years after date of last action  
 GC 12946; 2 years after termination or action  
 State of California Guidelines; 10 years after termination

Administrative Decision: Permanent

04-02-00 Personnel Management Group

## 04-02-01 Position Information/Job Descriptions

## Citations:

GC 34090 & 60201; 2 year minimum  
 State Recommendation; 2 years after superceded

SUP+2

**SUP+2****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 27

**04-00-00 Human Resources Function**04-02-00 Personnel Management Group

04-02-02 Advertising/Hiring Sources	Administrative record; no retention citation, keep while active.	SUP	<b>SUP</b>
04-02-03 Rules, Regulations & Policies	Citations: GC 34090 & 60201; 2 year minimum, State of California Guideline: 5 years after superceded or expired	SUP+2	<b>SUP+5</b>
04-02-04 Reclassifications	Citations: GC 34090; 2 year minimum GC 12946; 2 years after completion/position filled 29 CFR 516.6(2); 2 years for wage rate tables, etc. 29 CFR 1602.14; 1 year after action/change State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.  Administrative Decision: Current year plus 5 years.	CY+2	<b>CY+5</b>
04-02-05 Temporary Agencies	Administrative record; no retention citation, keep while active.	SUP	<b>SUP</b>
04-02-06 Salary Surveys	Citations: GC 34090; 2 year minimum GC 12946; 2 years after completion/position filled 29 CFR 516.6(2); 2 years for wage rate tables, etc. 29 CFR 1602.14; 1 year after action/change State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.	EY+2	<b>EY+2</b>
04-02-07 Vacation Requests	Citations: GC 34090; 2 year minimum 29 CFR 516.2; Maintain 29 CFR 516.6; 2 years R&T 19530; 3 years after tax return due LC 1174; 2 years after pay period 26 CFR 31.6001-1; 4 years after tax return due State of California Guidelines; 6 years after audit	CY+2	<b>AA+6</b>

04-03-00 Personnel Recruitment Group

04-03-01 Job Flyers/Announcements		AC+3	<b>AC+3</b>
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<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 28
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**04-00-00 Human Resources Function**04-03-00 Personnel Recruitment Group

			AC+3	<b>AC+3</b>
	Citations: GC 12946; 2 years after completion/position filled GC 6250; Public Records Act, release of confidential information 29 CFR 1602.14; 1 year after position filled 29 CFR 1607; Maintain EEOC demographic information 29 CFR 1627.3; 1 year after position filled			
04-03-02 Testing Information	Citations: GC 12946; 2 years after completion/position filled GC 6250; Public Records Act, release of confidential information 29 CFR 1602.14; 1 year after position filled 29 CFR 1607; Maintain EEOC demographic information 29 CFR 1627.3; 1 year after position filled		AC+3	<b>AC+3</b>
04-03-03 Position Recruitment Applications	Citations: GC 12946; 2 years after completion/position filled GC 6250; Public Records Act, release of confidential information 29 CFR 1602.14; 1 year after position filled 29 CFR 1607; Maintain EEOC demographic information 29 CFR 1627.3; 1 year after position filled		AC+3	<b>AC+3</b>
04-03-04 Affirmative Action Program	Citations: GC 34090; 2 year minimum GC 12946; 2 years after completion/position filled 29 CFR 1602 et seq.; 1 to 3 years for action 29 CFR 1627.3(a)(5) and (6) et seq.; 1 year after action 8 CCR 11040.7(c); 3 years for time tracking		SUP+3	<b>SUP+3</b>
04-03-05 Equal Opportunity Employment/EEOC	Citations: GC 34090; 2 year minimum GC 12946; 2 years after completion/position filled 29 CFR 1602 et seq.; 3 years for action/reporting 29 CFR 1627.3(a)(5) and (6) et seq.; 1 year after action		SUP+3	<b>SUP+3</b>
04-03-06 Department of Justice Fingerprinting	Citations: GC 34090; 2 year minimum State of California Guidelines; 2 years after termination		AT+2	<b>AT+2</b>

**Legend:** AA - After audit

CM - Current month

LOB - Life of board, commission or committee

REV - Review prior to destruction

Page 29

AC - After closure/completion/correction

CY - Current year

LOS or LOE - Life of system/equipment

S or SUP - Until superceded

AE - After expiration

EY - Event year

PERM - Permanent

+[Number] - Plus X years/months

AT - After termination



**04-00-00 Human Resources Function**04-03-00 Personnel Recruitment Group

04-03-07 Oral Board

Interviewers questions, instructions &amp; guidelines.

SUP+3

**SUP+3**

## Citations:

GC 12946; 2 years after completion/position filled  
 GC 6250; Public Records Act, release of confidential information  
 29 CFR 1602.14; 1 to 3 years after position filled  
 29 CFR 1607; Maintain EEOC demographic information  
 29 CFR 1627.3; 1 year after position filled

04-04-00 Personnel Medical & Compensation Group

04-04-01 Workers Compensation

Claims and original papers.

PERM

**PERM**

## Citations:

8 CCR 15400; Maintain reports  
 LC 110 - 139.6; 5 years for auditing  
 LC 6410; OSHA, maintain  
 29 CFR 1910.1020; 30 years after employee termination  
 State of California Guidelines; Permanent

04-04-02 Medical Records

Includes general employees and public safety employees.

AE+30

**AE+30**

## Citations:

8 CCR 15400; Maintain reports  
 LC 110 - 139.6; 5 years for auditing  
 LC 6410; OSHA, maintain  
 29 CFR 1910.1020; 30 years after employee termination  
 State of California Guidelines; 30 years after termination

04-05-00 Salary/Wage/Benefits Group

04-05-01 Pay &amp; Classification Plan

CY+2

**CY+2****Legend:** AA - After audit

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LOB - Life of board, commission or committee

REV - Review prior to destruction

Page 30

AC - After closure/completion/correction

CY - Current year

LOS or LOE - Life of system/equipment

S or SUP - Until superceded

AE - After expiration

EY - Event year

PERM - Permanent

+[Number] - Plus X years/months

AT - After termination

**04-00-00 Human Resources Function**04-05-00 Salary/Wage/Benefits Group

		CY+2	CY+2
	Does not include records for specific employees.		
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after completion/position filled 29 CFR 516.6(2); 2 years for wage rate tables, etc. 29 CFR 1602.14; 1 year after action/change State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.		
04-05-02 Deferred Compensation Program Administration	Applications, brochures and general Plan information. Does not include denied enrollment or claims.	SUP+2	<b>SUP+2</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action		
04-05-03 Health Benefits - Medical/Dental/Vision	General plan information. Does not include denied enrollment or claims.	CY+2	<b>CY+2</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action		
04-05-04 Public Employees Retirement System - CalPERS	Includes PERS amendments.	PERM	<b>PERM</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent		

**Legend:** AA - After audit

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AE - After expiration

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LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

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+[Number] - Plus X years/months

**04-00-00 Human Resources Function**04-05-00 Salary/Wage/Benefits Group

04-05-05 State Disability Insurance	Administrative documents from the State. Keep while current.	SUP	<b>SUP</b>
04-05-06 Other Employee Services/Benefits	Non-medical and/or non-insurance related employee services, supplemental insurance, etc.	CY+2	<b>CY+2</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination; State of California Guidelines; 2 years after action		

04-06-00 Labor Relations Group

04-06-01 Union Representatives/Organizations	Citations: GC 34090; 2 year minimum	CY+2	<b>CY+2</b>
04-06-02 Memorandums of Understanding	Copy. Originals kept with City Clerk as a contract  Administrative Duplicate; retain while current/necessary	SUP	<b>SUP</b>
04-06-03 Negotiations	Negotiations with labor groups and employees, and original Memoranda of Understanding. Documents include notes, notebooks, correspondence, and contracts.  Citations: 29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; Permanent	PERM	<b>PERM</b>

04-07-00 Risk Management/JPA Group

04-07-01 Long Term Disability		EY+2	<b>EY+2</b>
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+[Number] - Plus X years/months

**04-00-00 Human Resources Function**04-07-00 Risk Management/JPA Group

		Active Ret.	Total Ret.
	Plan information.	EY+2	<b>EY+2</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination; State of California Guidelines; 2 years after action		
04-07-02 Life Insurance	Plan information.	EY+2	<b>EY+2</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination; State of California Guidelines; 2 years after action		
04-07-03 Injury, Illness & Loss Prevention	Citations: GC 34090; 2 year minimum, State of California Guideline: 5 years after superceded or expired	SUP+5	<b>SUP+5</b>
04-07-04 Wellness Program	Plan information.	EY+2	<b>EY+2</b>
	Citations: GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination; State of California Guidelines; 2 years after action		
04-07-05 ERMA	Citations: 8 CCR 15400; Maintain reports LC 110 - 139.6; 5 years for auditing LC 6410; OSHA, maintain 29 CFR 1910.1020; 30 years after employee termination State of California Guidelines; Permanent	PERM	<b>PERM</b>

**Legend:** AA - After audit

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+[Number] - Plus X years/months

**04-00-00 Human Resources Function**04-07-00 Risk Management/JPA Group

04-07-06 Safety Program & Training	Citations: GC 34090; 2 year minimum, State of California Guideline: 5 years after superceded or expired	SUP+5	<b>SUP+5</b>
04-07-07 Joint Powers Agreement - Municipal Pooling	Includes minutes and agenda copies.  Administrative Duplicate; keep while current/necessary for reference.  Administrative Decision; 2 years after event occurs.	EY+2	<b>EY+2</b>
04-07-08 Workers Compensation Administration	Does not include reports of claims and/or individual events.  Citations: GC 34090; 2 year minimum	CY+2	<b>CY+2</b>

**Legend:** AA - After audit

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EY - Event year

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PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-01-00 General Accounting Group

05-01-01 Batches, Journal Entries/Cash Receipts	Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after audit  Administrative Decision: 7 years after audit	AA+3	<b>AA+7</b>
05-01-02 General Ledger	Old journal entry and cash receipts books.  Citations: GC 34090; 2 year minimum CCP 337; Statutes of limitations, 4 years for action State of California Guidelines; Permanent	PERM	<b>PERM</b>
05-01-03 Journal Entries/Cash Receipts	Old journal entry and cash receipts books.  Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after audit  Administrative Decision: 7 years after audit	AA+7	<b>AA+7</b>
05-01-04 Annual Financial Statements	Includes statement of accounts, general ledgers, journal entries, cash receipts & miscellaneous annual financial statements  Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	CY+2	<b>PERM</b>

05-02-00 Audit Group

05-02-01 Annual Financial Statement (CAFR)	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	<b>PERM</b>
05-02-02 Audit Mailing List	RFP mailing lists.  Administrative Reference Record; maintain while current	SUP	<b>SUP</b>
05-02-03 Audit Proposals		SUP+2	<b>SUP+2</b>

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EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

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S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-02-00 Audit Group

			SUP+2	<b>SUP+2</b>
	Citations: GC 34090; 2 years minimum			
05-02-04 Annual Audit Worksheets	General financial audit workpapers.		AA+3	<b>AA+10</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; 7 years after audit			
	Administrative Decision: 10 years after audit			
05-02-05 PERS Audit	Final audit reports.		AA+2	<b>PERM</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent			
05-02-06 Single Audit Report	Annual financial audit.		PERM	<b>PERM</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent			
05-02-07 Fixed Assets	Citations: GC 34090; 2 years minimum CCP 337; Statutes of limitations 26 CFR 301.6501(F); 6 years after audit		AA+2	<b>AA+6</b>
05-02-08 Other Audits Group			AA+10	<b>AA+10</b>

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LOS or LOE - Life of system/equipment  
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S or SUP - Until superceded  
+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-02-00 Audit Group

		AA+10	<b>AA+10</b>
	Includes PALC, Youth Foundation, Senior Foundation, etc.		
	If record series includes original audit workpapers, then maintain for 10 years after audit, per the following citations: GC 34090; 2 years minimum State of California Guidelines; 7 years after audit		
	Administrative Decision: 10 years after audit		
	If record series includes original final audit, maintain PERMANENTLY, per the following citations: GC 34090; 2 years minimum State of California Guidelines; Permanent		

05-03-00 Banking/Investing Group

05-03-01 Checks, Cancelled	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 5 years after audit	AA+1	<b>AA+5</b>
05-03-02 Bank Statements	Includes statements, summaries for receipts, disbursements & reconciliation.  Citations: GC 34090; 2 years minimum GC 12946; Personnel information, 2 years minimum FC 30210; Maintain, no specific retention GC 43900-43903; Bond records, notification to public of destruction State of California Guidelines; 5 years after audit	AA+2	<b>AA+5</b>
05-03-03 Investments	Citations: GC34090; 2 year minimum CCP 337; Statutes of limitations, 4 years for action GC 53607; Maintain State of California Guidelines; Permanent	PERM	<b>PERM</b>
05-03-04 Financial Advisors		CY+2	<b>CY+2</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 37



**05-00-00 Financial Services Function**05-03-00 Banking/Investing GroupCY+2      **CY+2**Citations:  
GC 34090; 2 year minimum05-04-00 Bonds Group

05-04-01 Arbitrage

Citations:  
GC 34090; 2 years minimum  
GC 43900-43903; Destruction guidelines for bonds  
CCP 337.5; Statutes of limitations, 6 years after expiration  
FC 3368; Maintain  
FC 30210; Maintain  
State of California Guidelines; 10 years after closure/expirationAC+2      **AC+10**

05-04-02 Letters of Credit

Citations:  
GC 34090; 2 years minimum  
GC 43900-43903; Destruction guidelines for bonds  
CCP 337.5; Statutes of limitations, 6 years after expiration  
FC 3368; Maintain  
FC 30210; Maintain  
State of California Guidelines; 10 years after closure/expirationAC+2      **AC+10**

05-04-03 Bond Issues

Includes bonds/coupons paid and/or cancelled.

AC+2      **AC+10**Citations:  
GC 34090; 2 years minimum  
GC 43900-43903; Destruction guidelines for bonds  
CCP 337.5; Statutes of limitations, 6 years after expiration  
FC 3368; Maintain  
FC 30210; Maintain  
State of California Guidelines; 10 years after closure/expiration

05-04-04 Annual Disclosure Report

AC+2      **AC+10****Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After terminationCM - Current month  
CY - Current year  
EY - Event yearLOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - PermanentREV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-04-00 Bonds GroupAC+2      **AC+10**

## Citations:

GC 34090; 2 years minimum

GC 43900-43903; Destruction guidelines for bonds

CCP 337.5; Statutes of limitations, 6 years after expiration

FC 3368; Maintain

FC 30210; Maintain

State of California Guidelines; 10 years after closure/expiration

Added 4-1-08 - requested by S. Lucken

05-05-00 Payroll Group

## 05-05-01 Employee Payroll Files

Payroll pay sheets, FLSA worksheets; hourly and salary employees.  
For individual employees, place termination/separation date in the Event  
Date field under the individuals database file.AS+3      **AS+3**

## Citations:

GC 34090; 2 years minimum

GC 12946; 2 years after termination

29 CFR 516.2-6; Maintain at least 3 years

29 CFR 1627 et al; Maintain 3 years

State of California Guidelines; 3 years after employee termination or  
separation

## 05-05-02 Mandated Payroll Reports

## Citations:

GC 34090; 2 years minimum

GC 37207; Maintain, no specific retention

GC 12946; 2 years after termination

29 CFR 516.2-6; 4 years after tax return filing

29 CFR 1627; 3 years

State of California Guidelines; Permanent

CY+2      **PERM**

1986-2008 imaged in SIRE

After scanned, retain paper for 3 years

## 05-05-03 PERS Reports

CY+2      **PERM**

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-05-00 Payroll Group

EEOC/ADEA reports

CY+2

**PERM**

Citations:

GC 34090; 2 years minimum

GC 12946; 2 years after termination

29 CFR 1627 et al; Maintain 3 years

State of California Guidelines; Permanent

05-05-04 PERS Information

General information on PERS program.

CY+2

**CY+2**

Citations:

GC 34090; 2 year minimum

05-05-05 Time Cards

Signed employee timesheets for audit reports.

AA+1

**AA+6**

Citations:

GC 34090; 2 year minimum

29 CFR 516.2; Maintain

29 CFR 516.6; 2 years

R&amp;T 19530; 3 years after tax return due

LC 1174; 2 years after pay period

26 CFR 31.6001-1; 4 years after tax return due

State of California Guidelines; 6 years after audit

05-06-00 Employee Taxes Group

05-06-01 Quarterly Returns

Forms 1096, 1099, W-4 and W-2.

AA+3

**AA+8**

Citations:

GC 34090; 2 year minimum

29 USC 436; 5 years

26 CFR 31.6001; 4 years after tax return is filed

R&amp;T 19530; 3 years after tax return is filed

29 CFR 516.2-6; Maintain at least 3 years

State of California Guidelines; 4 years after audit

Administrative Decision: 8 years after audit

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**

05-06-00 Employee Taxes Group

05-06-02 W-2/1099 Reporting

Citations:  
 GC 34090; 2 year minimum  
 29 USC 436; 5 years  
 26 CFR 31.6001; 4 years after tax return is filed  
 R&T 19530; 3 years after tax return is filed  
 29 CFR 516.2-6; Maintain at least 3 years  
 State of California Guidelines; 4 years after audit

AA+3 **AA+8**

Administrative Decision: 8 years after audit

05-07-00 Financial Planning / Budgeting Group

05-07-01 Annual/Final Budget

Citations:  
 GC 34090; 2 years minimum  
 GC 40802; Maintain  
 GC 53901; Budgets copy must be filed with the County  
 State of California Guidelines; Permanent

AA+3 **PERM**

Permanent refers to one final copy of the approved budget. Working copies can be destroyed after use.

05-07-02 Budget Staff Reports/Workpapers/Drafts

Includes proposed budgets and all workpapers leading up to final annual budget

AA+2 **AA+4**

Citations:  
 GC 34090; 2 years minimum  
 State of California Guidelines; 2 years after audit

Administrative Decision: 4 years after audit for tracking purposes.

05-07-03 Revenue Workpapers

Includes all work papers leading up to final annual budget.

AA+2 **AA+4**

Citations:  
 GC 34090; 2 years minimum  
 State of California Guidelines; 2 years after audit

Administrative Decision: 4 years after audit for tracking purposes.

05-07-04 PERS Actuarials

CY+3 **CY+10**

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 41
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**05-00-00 Financial Services Function**05-07-00 Financial Planning / Budgeting Group

Permanent retention applies to EEOC/ADEA reports. See 05-05-03

CY+3 **CY+10**

## Citations:

GC 34090; 2 years minimum

GC 12946; 2 years after employee separation/termination

29 CFR 1627 et al; Maintain 3 years

Administrative Decision: Current year plus 10 years for budget tracking.

05-07-05 Appropriations Limit

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; 2 years after audit

Administrative Decision: Current year plus 10 years for tracking bonds.

CY+3 **CY+10**

05-07-06 Quarterly Budget Report

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; 2 years after audit

AA+2 **AA+2**05-08-00 Business Licenses Group

05-08-01 Licenses &amp; Applications - In City Limits

Businesses within the city limits. Payment information and reports.

AE+2 **AE+4**

## Citations:

GC 34090; 2 year minimum

CCP 337; Statute of limitations

State of California Guidelines; 4 years after termination of business

05-08-02 Licenses &amp; Applications - Contractors &amp; Subcontractors

Businesses outside of the city limits. Payment information and reports.

AE+2 **AE+4**

## Citations:

GC 34090; 2 year minimum

CCP 337; Statute of limitations

State of California Guidelines; 4 years after termination of business

05-08-03 Licenses &amp; Applications - Outside Businesses

AE+2 **AE+4****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-08-00 Business Licenses Group

Not contractors or subcontractors. Payment information and reports. AE+2    **AE+4**

Citations:  
GC 34090; 2 year minimum  
CCP 337; Statute of limitations  
State of California Guidelines; 4 years after termination of business

05-08-04 Reports CY+3    **PERM**

Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; Permanent

05-08-05 Hearings AE+4    **AE+4**

Citations:  
GC 34090; 2 year minimum  
CCP 337; Statute of limitations  
State of California Guidelines; 4 years after termination of business

05-09-00 Lease Purchase Group

05-09-01 Parking Lot Leases AE+2    **AE+5**

Citations:  
CCP 337.2; Statutes of limitations  
CCP 343; Statutes of limitations  
48 CFR 4; 5 years for procurements exceeding \$25,000  
State of California Guidelines; 5 years after completion/expiration of the lease

05-09-02 Equipment Leasing AE+2    **AE+5**

Citations:  
CCP 337.2; Statutes of limitations  
CCP 343; Statutes of limitations  
48 CFR 4; 5 years for procurements exceeding \$25,000  
State of California Guidelines; 5 years after completion/expiration of the lease

05-10-00 Accounts Payable Group

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-10-00 Accounts Payable Group

05-10-01 Invoices Paid	Invoices and supporting vendor documents.  Citations: GC 34090; 2 year minimum State of California Guidelines; 4 years after audit	AA+2	<b>AA+5</b>
05-10-02 Warrant Listing (Check List)	Includes Warrant Lists, A/P Listing Reports, and Month End Reports  Warrant registers are 2 years after audit based on GC 34090.7, copies of information contained in another form/location.  Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent for vendor registers (including purchase orders, invoices, account numbers, check dates).	AA+2	<b>AA+2</b>
05-10-03 ABAG Utility Purchase - Gas	This program was ended in 2002. Document retention will end in 2007.  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years  Administrative Decision; 5 years after audit	AA+2	<b>AA+5</b>
05-10-04 ABAG Utility Purchase - Electricity	This program was ended in 2002. Document retention will end in 2007.  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years  Administrative Decision; 5 years after audit	AA+2	<b>AA+5</b>

05-11-00 Revenue Group

05-11-01 Mandated Costs		AA+5	<b>AA+5</b>
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**Legend:** AA - After audit

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AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-11-00 Revenue Group

			AA+5	<b>AA+5</b>
		Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit		
05-11-02 Public Safety		Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	<b>AA+5</b>
05-11-03 Treatment Plant		Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	<b>AA+5</b>
05-11-04 Growth Impact Fees		Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	<b>AA+5</b>
05-11-05 Parkland Dedication Fees		Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	<b>AA+5</b>
05-11-06 Rental of Property			AA+5	<b>AA+5</b>

**Legend:** AA - After audit

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EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**05-00-00 Financial Services Function**05-11-00 Revenue Group

		AA+5	AA+5
	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit		
05-11-07 Pinole Vista Ground Lease	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	AA+5
05-11-08 Pinole Valley Ground Lease	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	AA+5
05-11-09 Pinole Assisted Living Ground Lease	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	AA+5
05-11-10 St Joseph's Parking Lot Lease	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit	AA+5	AA+5
05-11-11 Rental Properties - Long Term		AA+5	AA+5

**Legend:** AA - After audit

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AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-11-00 Revenue Group

			AA+5	<b>AA+5</b>
	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit			
	Administrative Decision: 5 years after audit			
05-11-12 Rental Properties - Short Term	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit		AA+5	<b>AA+5</b>
	Administrative Decision: 5 years after audit			
05-11-13 Rental Properties - Field Use/Seasonal	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit		AA+5	<b>AA+5</b>
	Administrative Decision: 5 years after audit			
05-11-14 Recreation Revenue	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit		AA+5	<b>AA+5</b>
	Administrative Decision: 5 years after audit			
05-11-15 City Fees Schedule	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit		AA+5	<b>AA+5</b>
	Administrative Decision: 5 years after audit			

05-12-00 Tax Revenue

05-12-01 Sales Tax			AA+3	<b>AA+3</b>
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<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 47
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**05-00-00 Financial Services Function**05-12-00 Tax Revenue

	Historical/backup information	AA+3	<b>AA+3</b>
	Citations: GC 34090; 2 year minimum CCP 338; Statute of limitations, 3 years for action State of California Guidelines; 3 years after audit  Administrative Decision: Department policy (PERM) overridden with above citations.		
05-12-02 Utility User Tax	Includes exemptions.	AA+3	<b>AA+3</b>
	All correspondence and non essential documents should be retained CY+2.  Citations: GC 34090; 2 year minimum CCP 338; Statute of limitations, 3 years for action State of California Guidelines; 3 years after audit  Administrative Decision: Department policy (PERM) overridden with above citations.		
05-12-03 Transient Occupancy Tax		AA+3	<b>AA+3</b>
	Citations: GC 34090; 2 year minimum CCP 338; Statute of limitations, 3 years for action State of California Guidelines; 3 years after audit  Administrative Decision: Department policy (PERM) overridden with above citations.		
05-12-04 Franchise Fees		AA+3	<b>AA+3</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-12-00 Tax Revenue

Historical/backup information AA+3 **AA+3**

Citations:  
GC 34090; 2 year minimum  
CCP 338; Statute of limitations, 3 years for action  
State of California Guidelines; 3 years after audit

Administrative Decision: Department policy (PERM) overridden with above citations.

## 05-12-05 Property Tax

Historical/backup information AA+3 **AA+3**

Citations:  
GC 34090; 2 year minimum  
CCP 338; Statute of limitations, 3 years for action  
State of California Guidelines; 3 years after audit

Administrative Decision: Department policy (PERM) overridden with above citations.

## 05-12-06 Motor Vehicle Tax

Historical/backup information AA+3 **AA+3**

Citations:  
GC 34090; 2 year minimum  
CCP 338; Statute of limitations, 3 years for action  
State of California Guidelines; 3 years after audit

Administrative Decision: Department policy (PERM) overridden with above citations.

05-13-00 Grants Group

## 05-13-01 Police (COPS)

AC+2 **AC+5**

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-13-00 Grants Group

AC+2

**AC+5**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

## 05-13-02 Federal Emergency Management Agency

AC+2

**AC+5**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

## 05-13-03 Recreation

AC+2

**AC+5**

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-13-00 Grants Group

AC+2

**AC+5**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan

24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

## 05-13-04 Fire

AC+2

**AC+5**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan

24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

## 05-13-05 Public Works

AC+2

**AC+5****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-13-00 Grants GroupAC+2 **AC+5**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

## 05-13-06 Community Development Block Grants

Includes applications, reports, contracts and any supporting documents.

AC+2 **AC+4**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

## 05-13-07 Miscellaneous Grants

AC+2 **AC+5****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 52

**05-00-00 Financial Services Function**05-13-00 Grants GroupAC+2      **AC+5**

## Citations:

21 CFR 1403.36; 3 years after last payment

21 CFR 1403.42; 3 years after last payment, unless litigation, then 3 years after claim is filed/settled.

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report

OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition

29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years.

State of California Guidelines; 5 years after grant closure. State recommends referring to grant application close-out procedures, if any.

05-14-00 Mandated Reports Group

05-14-01 State Controllers Reports - City

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; Permanent

PERM      **PERM**

05-14-02 State Controllers Reports - RDA

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; Permanent

PERM      **PERM**

05-14-03 Annual Street Reports

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; Permanent

PERM      **PERM**

05-14-04 Housing/Commercial Development Reports

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; Permanent

PERM      **PERM**

05-14-05 Statement of Indebtedness

## Citations:

GC 34090; 2 years minimum

State of California Guidelines; Permanent

PERM      **PERM**

05-14-06 SBE Returns

CY+7      **PERM****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**05-00-00 Financial Services Function**05-14-00 Mandated Reports Group

		Active Ret.	Total Ret.
	Sales tax return.	CY+7	PERM
	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent		
05-14-07 Measure C	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	PERM
05-14-08 Prop 172 Report	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	PERM
05-14-09 NPDES	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	PERM
05-14-10 Contra Costa Transportation Authority	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	PERM
05-14-11 WCCTAC Developers Fees (STMP)	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	PERM
05-14-12 Gas Logs	Gasoline and Diesel Usage Logs	CY+7	CY+7
	Citations: GC 34090; 2 years minimum		
	Administrative Decision: Current year plus 7 years for tracking purposes.		
05-14-13 ICMA Safety Personnel Report	Annual Questionnaire regarding public safety salaries and expenditures (solely for benefit of ICMA to gather information)	CY+2	CY+2
	Citations: GC 34090; 2 year minimum		

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

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+[Number] - Plus X years/months

Page 54

**05-00-00 Financial Services Function**05-14-00 Mandated Reports Group

05-14-14 Cable Television Information Report	Annual Questionnaire from Contra Costa County regarding cable/broadband service.  Citations: GC 34090; 2 year minimum	CY+2	<b>CY+2</b>
05-14-15 CCC Assessment Lease Reports	Annual report filed with CCC on cities properties under a lease agreement.  Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	<b>PERM</b>
05-14-16 Treasurer Reports	Monthly Summary of Funds  Citations: GC 41004 - Treasurer duties require the document be provided to legislative board GC 34090; 2 years minimum Added 12/16/08-Supp.#3	CY+2	<b>CY+2</b>

05-16-00 Redevelopment Agency Funding Group

05-16-01 RDA Projects	Includes bond & budget issues for RDA.  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Permanent for Redevelopment Agency bond and budget issues.	AC+5	<b>PERM</b>
05-16-02 Community Group Funding Program	Includes bond & budget issues for RDA.  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Permanent for Redevelopment Agency bond and budget issues.	AC+5	<b>PERM</b>
05-16-03 RDA Housing Projects		AC+5	<b>PERM</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

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CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-16-00 Redevelopment Agency Funding Group

Includes bond & budget issues for RDA. AC+5 **PERM**

Citations:  
GC 34090; 2 year minimum requirement  
State of California Guidelines; Permanent for Redevelopment Agency bond and budget issues.

05-16-04 Loan Programs AC+5 **AC+5**

Citations:  
24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report  
OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition  
State of California Guidelines; Closure of loan plus 3 years

Administrative Decision: 5 years after closure or completion

05-17-00 Purchasing Group

05-17-01 Successful Bids/RFPs/RFQs AC+2 **AC+5**

Includes successful bids, RFQs and RFPs. See contract for project details.

Citations:  
GC 34090; 2 years minimum  
GC 25105; 5 years after closure of claim  
CCP 337; Statute of limitations  
State of California Guidelines; 5 years after audit, successful;

05-17-02 Unsuccessful Bids/RFP's/FRQ's CY+2 **CY+2**

Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; Current year plus 2, unsuccessful

05-17-03 Purchase Orders AA+2 **AA+4**

Original purchase orders

Citations:  
GC 34090; 2 year minimum  
CCP 337; Statute of limitations  
State of California Guidelines; 4 years after audit

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**05-00-00 Financial Services Function**05-17-00 Purchasing Group

05-17-04 Vendor Information

Includes brochures, pamphlets, and general information about each vendor. Reference or Administrative record.

CUR

**CUR**

## Citations:

State of California Guidelines; While Active

Does not include Vendor Registers (alphabetical vendor listing of purchase orders, invoices, account numbers and check dates), which are kept PERMANENTLY per State of California Guidelines.

05-17-05 Pre-qualification Questionnaire Applications

## Citations:

GC 34090; 2 year minimum requirement.

CY+2

**CY+2****Legend:** AA - After audit

AC - After closure/completion/correction

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S or SUP - Until superceded

+[Number] - Plus X years/months

**06-00-00 Fire Safety Function**06-01-00 General Fire Services Group

06-01-01 Incident Response Reports	Citations: GC 34090; 2 years minimum CCP 338; 3 years for action CCP 340.5; Healthcare providers; 3 years after occurrence or 1 year after the patient discovers the injury, whichever comes first. CCP 340.8; Exposure to hazardous substances; 2 years after exposure, or 2 years after patient discovers injury, whichever is later.	AC+3	<b>AC+3</b>
06-01-02 CFIRS - California Fire Incident Reporting System	Citations: GC 34090; 2 years minimum CCP 338; 3 years for action CCP 340.5; Healthcare providers; 3 years after occurrence or 1 year after the patient discovers the injury, whichever comes first. CCP 340.8; Exposure to hazardous substances; 2 years after exposure, or 2 years after patient discovers injury, whichever is later.	AC+3	<b>AC+3</b>
06-01-03 Duty Log Books	Activities and personnel journals.  Citations: GC 34090; 2 years minimum CCP 340.5; Healthcare providers; 3 years after occurrence or 1 year after the patient discovers the injury, whichever comes first. CCP 340.8; Exposure to hazardous substances; 2 years after exposure, or 2 years after patient discovers injury, whichever is later. 8 CCP 3203(b)(1); Injury & Illness Prevention Program inspection records, maintain at least 1 year. State of California Guidelines; Current year plus 2 years.  Administrative Decision: Permanent for historical content.	PERM	<b>PERM</b>
06-01-04 Equipment Logs		CU+4	<b>CU+4</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

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S or SUP - Until superceded

+[Number] - Plus X years/months

**06-00-00 Fire Safety Function**06-01-00 General Fire Services Group

		Active Ret.	Total Ret.
	Includes Quarterly Safety Inspection Logs and Personal Protective Equipment Logs.	CU+4	<b>CU+4</b>
	Citations: GC 34090; 2 years minimum CCP 340.5; Healthcare providers; 3 years after occurrence or 1 year after the patient discovers the injury, whichever comes first. CCP 340.8; Exposure to hazardous substances; 2 years after exposure, or 2 years after patient discovers injury, whichever is later. 8 CCP 3203(b)(1); Injury & Illness Prevention Program inspection records, maintain at least 1 year.		
06-01-05 Training	Citations: 8 CCR 3203; IIPP training, at least 1 year State of California Guidelines; 2 years after superseded for training materials.  Individual training information maintained by employee is retained for termination/separation plus 2 years, per State of California Guidelines	AS+3	<b>AS+3</b>
06-01-06 Arson Investigation Files - Homicide	Supporting prosecution resulting in homicide.  Citations: PC 799; Action may commence with no time limitations IFC 104.6; Retain for life of the building plus 5 years State of California Guidelines; Permanent	AC+3	<b>PERM</b>
06-01-07 Arson Investigation Files - Inhabited Structure	Supporting prosecution for great bodily harm, inhabited structure or property.  Citations: PC 800; Action may commence within 6 years after occurrence IFC 104.6; Retain for life of the building plus 5 years. State of California Guidelines; Completion of investigation plus 6 years	AC+3	<b>AC+6</b>
06-01-08 Arson Investigation Files - Other		AC+5	<b>AC+5</b>

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EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

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+[Number] - Plus X years/months

**06-00-00 Fire Safety Function**06-01-00 General Fire Services Group

Supporting prosecution regarding structural fires. AC+5 **AC+5**

Citations:  
 UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years.  
 IFC 104.6; Retain for 5 years after renewal  
 State of California Guidelines; 3 years after completion of inspection

## 06-01-09 Automatic Response System

Citations: CY+3 **CY+3**  
 GC 34090; 2 years minimum  
 CCP 338; 3 years for action  
 CCP 340.5; Healthcare providers; 3 years after occurrence or 1 year after the patient discovers the injury, whichever comes first.  
 CCP 340.8; Exposure to hazardous substances; 2 years after exposure, or 2 years after patient discovers injury, whichever is later.

06-02-00 Fire Prevention Group

## 06-02-01 Commercial/General Businesses

Uniform Fire Code permits and inspections. Includes inspection reports, maps & plans, safety systems, incidents & events, emergency records/contacts, and hazardous materials information. AE+5 **AE+5**

Citations:  
 UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years.  
 IFC 104.6; Retain for 5 years after renewal/expiration of fire permit  
 State of California Guidelines; 3 years after completion of inspection

## 06-02-02 Daycare Businesses

Uniform Fire Code permits and inspections. Includes inspection reports, maps & plans, safety systems, incidents & events, emergency records/contacts, and hazardous materials information. AE+5 **AE+5**

Citations:  
 UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years.  
 IFC 104.6; Retain for 5 years after renewal/expiration of fire permit  
 State of California Guidelines; 3 years after completion of inspection

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

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+[Number] - Plus X years/months

**06-00-00 Fire Safety Function**06-02-00 Fire Prevention Group

06-02-03 Schools/Educational Institutions	Uniform Fire Code permits and inspections. Includes inspection reports, maps & plans, safety systems, incidents & events, emergency records/contacts, and hazardous materials information.  Citations: UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years. IFC 104.6; Retain for 5 years after renewal/expiration of fire permit State of California Guidelines; 3 years after completion of inspection	AE+5	<b>AE+5</b>
06-02-04 Religious Institutions	Uniform Fire Code permits and inspections. Includes inspection reports, maps & plans, safety systems, incidents & events, emergency records/contacts, and hazardous materials information.  Citations: UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years. IFC 104.6; Retain for 5 years after renewal/expiration of fire permit State of California Guidelines; 3 years after completion of inspection	AE+5	<b>AE+5</b>
06-02-05 Apartments	Uniform Fire Code permits and inspections. Includes inspection reports, maps & plans, safety systems, incidents & events, emergency records/contacts, and hazardous materials information.  Citations: UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years. IFC 104.6; Retain for 5 years after renewal/expiration of fire permit State of California Guidelines; 3 years after completion of inspection	AE+5	<b>AE+5</b>
06-02-06 City Hall		PERM	<b>PERM</b>

**Legend:** AA - After audit

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LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

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+[Number] - Plus X years/months



**06-00-00 Fire Safety Function**06-02-00 Fire Prevention Group

Uniform Fire Code permits and inspections. Includes inspection reports, maps & plans, safety systems, incidents & events, emergency records/contacts, and hazardous materials information.

PERM

**PERM**

## Citations:

CG 34090(a); Real property information; permanent  
 UFC 103.34 New construction/alterations of buildings; Retain inspection records for 3 years.  
 IFC 104.6; Retain for 5 years after renewal/expiration of fire permit  
 State of California Guidelines; 3 years after completion of inspection

## 06-02-07 Weed Abatement

Reports & assessments

AC+2

**AC+2**

## Citations:

GC 34090; 2 year minimum requirement  
 State of California Guidelines; 2 years after correction or case closure

## 06-02-08 Fire Safety Programs

Programs for the public.

SUP

**SUP+2**

## Citations:

GC 34090; 2 year minimum requirement.

07-01-00 General Police Services Group**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

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CY - Current year

EY - Event year

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LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

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+[Number] - Plus X years/months

**08-00-00 Information Technologies Function**08-01-00 Software Group

08-01-01 Maintenance	Maintenance & support contracts.  Citations CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4; 5 years for procurements exceeding \$25,000 RSA Suggestion; Life of system plus 5 years	LOS+5	<b>LOS+5</b>
08-01-02 Licenses/Use Contracts	Citations: CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4; 5 years for procurements exceeding \$25,000 RSA Suggestion; Life of system plus 5 years	LOS+5	<b>LOS+5</b>
08-01-03 Software Information	Citations: Administrative Records; keep while current	CY	<b>CY</b>
08-01-04 Computer Rotation/Software Lists	Internal workstation software installation lists  Citations: GC 34090; 2 year minimum State of California Guidelines; 2 years after superseded	SUP+2	<b>SUP+2</b>
08-01-05 Software	Software program media  Citations: GC 34090; 2 year minimum State of California Guidelines; 2 years after superseded	SUP+2	<b>SUP+2</b>

08-02-00 Hardware Group

08-02-01 System Configuration	Workstation/server configurations & invoices  Citation: GC 34090; 2 year minimum requirement CCP 337.2; SOL is 4 years for actions to commence CCP 343; SOL is 4 years for actions to commence State of California Guidelines; Current year plus 4 years	SUP+4	<b>SUP+4</b>
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<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 63
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+[Number] - Plus X years/months	
	AT - After termination				

**08-00-00 Information Technologies Function**08-02-00 Hardware Group

08-02-02 Maintenance	Maintenance & support contracts	AE+5	<b>AE+5</b>
	Citations: CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4; 5 years for procurements exceeding \$25,000		
08-02-03 Network Maps, Plans & Diagrams	Diagrams of network settings.	SUP+4	<b>SUP+4</b>
	Citations: GC 34090; 2 year minimum requirement CCP 337.2; SOL is 4 years for actions to commence CCP 343; SOL is 4 years for actions to commence State of California Guidelines; Current year plus 4 years		

08-03-00 City Information Systems Group

08-03-01 Infrastructure & Wiring	Citation: GC 34090; 2 year minimum requirement CCP 337.2; SOL is 4 years for actions to commence CCP 343; SOL is 4 years for actions to commence State of California Guidelines; Current year plus 4 years	SUP+4	<b>SUP+4</b>
08-03-02 Projects/Professional Services	LAN Installation	CY+4	<b>CY+4</b>
	Citation: GC 34090; 2 year minimum requirement CCP 337.2; SOL is 4 years for actions to commence CCP 343; SOL is 4 years for actions to commence State of California Guidelines; Current year plus 4 years		
08-03-03 Security & Data Integrity	Access rights, IP addresses, etc.	SUP+4	<b>SUP+4</b>
	Citation: GC 34090; 2 year minimum requirement CCP 337.2; SOL is 4 years for actions to commence CCP 343; SOL is 4 years for actions to commence State of California Guidelines; Current year plus 4 years		

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

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EY - Event year

LOB - Life of board, commission or committee

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+[Number] - Plus X years/months

**08-00-00 Information Technologies Function**08-03-00 City Information Systems Group

08-03-04 Policies	Policies regarding information systems use and maintenance.  Citations: GC 34090; 2 year minimum Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.	SUP+5	<b>SUP+5</b>
08-03-05 System Backup - Monthly	Monthly backup of servers  Citations: GC 34090.7; duplicates and copies may be destroyed within the 2 year minimum period.	CM+11	<b>CM+11</b>
08-03-06 System Backup - Weekly	Rotating weekly backup of servers.  Citations: GC 34090.7; duplicates and copies may be destroyed within the 2 year minimum period.	SUP	<b>SUP</b>

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AE - After expiration  
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+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-01-00 Engineering Group

09-01-01 Utilities	Maintenance projects, general information and correspondence from utility providers.  Citations: GC 34090; 2 year minimum	CY+2	<b>CY+2</b>
09-01-02 Right of Way / Street Vacations	Includes working files for right of way and street vacations. Original recorded documents are with the City Clerk.  Administrative Decision; Current Year plus 5 years for reference purposes, copies of originals.	CY+2	<b>CY+5</b>
09-01-03 Address Assignment	Includes house numbers, address assignments and changes, street dedications and closures.  Citations: GC 34090a; Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property State of California Guidelines; Permanent	PERM	<b>PERM</b>
09-01-04 Surveys & Studies	General studies, including noise, traffic, transportation, joint powers and engineering.  Studies & Surveys regarding recording data and/or maps should be kept Permanently re: GC 34090a; Permanent; State of California Guidelines; Permanent  Citations: GC 34090; 2 year minimum State of California Guidelines; completion of study or report plus 2 years.	AC+2	<b>AC+2</b>
09-01-05 Maps - Parcel/Final	Includes subdivisions, finals.  Citations: GC 34090a; Permanent State of California Guidelines; Permanent	PERM	<b>PERM</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-02-00 Public Works Programs Group

09-02-01 Graffiti	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Correction plus 2 years	AC+2	<b>AC+2</b>
09-02-02 Sidewalk Maintenance	Sidewalk repair and maintenance projects.  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion  Administrative Decision: 5 years after completion	AC+2	<b>AC+5</b>
09-02-03 NPDES Program	NPDES Permits - PERMANENT Operation & Maintenance Plans - PERMANENT Inspection Records - AE + 8 Clean Water Studies 7 Reports - AE + 8 Program Operational Plans - S + 2 Work Product materials , correspondence CY + 2 Application data, program workpapers and general administrative documents are maintained for 3 years after permit application approval per 40 CFR 122.21  Program workpapers and general administrative documents are maintained for the Current Year plus 2 years per GC 34090.  Citations: GC 34090; 2 year minimum 40 CFR 122.28; Maintain permits, applications State of California Guidelines; Permanent	REV	<b>REV</b>
09-02-04 FEMA Program		PERM	<b>PERM</b>

**Legend:** AA - After audit

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AE - After expiration

AT - After termination

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CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-02-00 Public Works Programs Group

			PERM	<b>PERM</b>
		Includes FEMA program flood maps, flood insurance information, reports and general correspondence. Permanent retention applies to flood maps, flood zone information and drainage facilities.		
		Program correspondence and general administrative documents are maintained for the Current Year plus 2 years, per GC 34090.		
		Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent for flood zones, flood maps and drainage facilities.		
09-02-05 Traffic Calming		Evaluation reports, traffic counts.	AC+2	<b>AC+2</b>
		Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-02-06 Traffic Safety		Includes program components such as drivers education, pedestrian safety, bicycle lanes, etc.	S+2	<b>S+2</b>
		Citations: GC 34090; 2 year minimum		
09-02-07 ABAG Power & Energy		City-owned or city run utilities. Includes underground pipelines and facilities owned and/or operated by the City.	LOS	<b>PERM</b>
		Citations: GC 4003 - 4006; maintain public works construction project documents, no specific retention period H&S 19850; maintain maps and plans of underground facilities, life of the facility State of California Guidelines; 2 years after termination of the utility and/or facility. Permanent for underground facilities		

09-03-00 Permits Group

09-03-01 Encroachment Permits			AC+2	<b>PERM</b>
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<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 68
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+[Number] - Plus X years/months	
	AT - After termination				

**09-00-00 Public Works Function**09-03-00 Permits Group

Electronic documents are maintained as originals. Paper is destroyed after scanning into Sire system. AC+2 **PERM**

## Citations:

GC 34090(a) Real property records, maintain Permanently  
GC 4003, 4004; Maintain  
H&S 19850; Life of Building, with exceptions

## 09-03-02 Grading Permits

Electronic documents are maintained as originals. Paper is destroyed after scanning into Sire system. AC+2 **PERM**

## Citations:

GC 34090(a) Real property records, maintain Permanently  
GC 4003, 4004; Maintain  
H&S 19850; Life of Building, with exceptions

09-04-00 Facilities Maintenance Group

## 09-04-01 Commercial Centers

Includes work orders, inspection, repairs, cleaning, reports, complaints. AC+2 **AC+2**

## Citations:

GC 34090; 2 year minimum requirement  
State of California Guidelines; 2 years after completion

## 09-04-02 City Hall

Includes work orders, inspection, repairs, cleaning, reports, complaints. AC+2 **AC+2**

## Citations:

GC 34090; 2 year minimum requirement  
State of California Guidelines; 2 years after completion

## 09-04-03 Public Safety Building

Includes work orders, inspection, repairs, cleaning, reports, complaints. AC+2 **AC+2**

## Citations:

GC 34090; 2 year minimum requirement  
State of California Guidelines; 2 years after completion

## 09-04-04 Corp Yard

AC+2 **AC+2**

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AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**09-00-00 Public Works Function**09-04-00 Facilities Maintenance Group

		Active Ret.	Total Ret.
	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-05 Pinole Youth Center	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-06 Pinole Senior Center	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-07 Pinole Swim Center	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-08 Tiny Tots Building	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-09 Tennis Courts	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-10 Post Office		AC+2	<b>AC+2</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-04-00 Facilities Maintenance Group

		Active Ret.	Total Ret.
	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-11 Memorial Hall	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-12 Fire Station 74	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-13 Flower Cart/Old Bank	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-14 Waste Water Treatment Plant	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-15 Amber Swartz Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-16 Bayfront Park		AC+2	<b>AC+2</b>

**Legend:** AA - After audit

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LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-04-00 Facilities Maintenance Group

		Active Ret.	Total Ret.
	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-17 Canyon Drive Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-18 Dog Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-19 Fernandez Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-20 Hugh Young Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-21 Louis Frances Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-22 Meadow Park		AC+2	<b>AC+2</b>

**Legend:** AA - After audit

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LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-04-00 Facilities Maintenance Group

		Active Ret.	Total Ret.
	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-23 Picnic Grove	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-24 Pinole Valley Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-25 Pinon Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-26 San Francisco Bay Trail	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-27 Sarah Drive Park	Includes work orders, inspection, repairs, cleaning, reports, complaints.	AC+2	<b>AC+2</b>
	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion		
09-04-28 View Park		AC+2	<b>AC+2</b>

**Legend:** AA - After audit

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LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-04-00 Facilities Maintenance Group

Includes work orders, inspection, repairs, cleaning, reports, complaints.

AC+2

**AC+2**

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; 2 years after completion

09-04-29 Wilson Point Park

Includes work orders, inspection, repairs, cleaning, reports, complaints.

AC+2

**AC+2**

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; 2 years after completion

09-04-30 Miscellaneous City Buildings/Structures

Includes work orders, inspection, repairs, cleaning, reports, complaints.

AC+2

**AC+2**

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; 2 years after completion

09-05-00 Streets & Transportation Group

09-05-01 Streets

Includes street maintenance work orders, inspections, repairs, cleaning, reports, complaints, striping.

AC+2

**AC+2**

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; 2 years after completion

09-05-02 Street Lights

Includes street light maintenance work orders, inspections, repairs, cleaning, reports, complaints

AC+2

**AC+2**

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; 2 years after completion

09-05-03 Signage

LOS+2

**LOS+2**

**Legend:** AA - After audit  
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LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-05-00 Streets & Transportation Group

		Active Ret.	Total Ret.
	Log books, index register cards, inventory lists, records of traffic signs.  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Life of system plus 2 years	LOS+2	<b>LOS+2</b>
09-05-04 Traffic Signals	Logs, drawings, wire diagrams, codes, circuit number, installation records, testing & maintenance  Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Life of system, no citation given	LOS	<b>LOS</b>
09-05-05 Truck Routes	Includes school bus routes.  Citations: GC 34090; 2 year minimum State of California Guidelines; 2 years after superseded.	SUP+2	<b>SUP+2</b>
09-05-06 Pipelines	Underground pipelines: PG&E, Pacific Bell/SBC, Southern Pacific, Santa Fe, Union Oil, and miscellaneous pipelines. Also includes Underground Service Alert system information.  Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent	PERM	<b>PERM</b>
09-05-07 Railroads - Southern Pacific / Santa Fe	Railroad right of way including land acquisitions, correspondence, improvements, statutory records.  Citations: 36 CFR 64.11; 3 years after completion of acquisition State of California Guidelines; 3 years after closure or completion.	AC+3	<b>AC+3</b>
09-05-08 Tree & Plant Violations	Citations: GC 34090; 2 year minimum requirement State of California Guidelines; Closure or correction plus 2 years	AC+2	<b>AC+2</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-06-00 Drainage Group

09-06-01 Storm Drains	Inlcudes drainage facilities and flood zones.  Reports and studies may be destroyed AC+2.  Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent for flood zones and drainage facilities.	PERM	<b>PERM</b>
09-06-02 Floods / Storms	Citations: GC 34090; 2 year minimum State of California Guidelines; Current Year plus 2 years  Administrative Decision: Permanent for historical tracking.	CY+5	<b>PERM</b>
09-06-03 Creek	Hydrographs, flood zones, drainage facilities.  Citations: GC 34090a; Permanent for land related documents State of California Guidelines; Permanent for hydrographs, flood zones and drainage facilities.	CY+2	<b>PERM</b>
09-06-04 Wetlands	Drainage facilities and flood zones.  Citations: GC 34090a; Permanent for land related documents State of California Guidelines; Permanent for flood zones and drainage facilities.	PERM	<b>PERM</b>

09-07-00 Sewer Collection Group

09-07-01 Sewer Use Charges (User Fees)	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit, based on Finance retention requirements	AA+2	<b>AA+5</b>
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09-07-02 Sewer Collection System

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 76
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**09-00-00 Public Works Function**09-07-00 Sewer Collection Group

Reclamation daily operations, compliance reports for discharge monitoring, and compliance reports for sanitary surveys. Does not include NPDES permits, which should be kept PERMANENTLY.

CY+2

**CY+12**

## Citations:

GC 34090; 2 year minimum

40 CFR 122.28; Maintain

40 CFR 122.41; 5 years after completion

40 CFR 141.33; Maximum 10 years after completion (see citation text)

40 CFR 141.91; 12 years after completion for quality tests, 5 years after completion for bacterial tests, 10 years after completion for chemical analysis of system.

## 09-07-03 Pump Stations

Includes pump station maintenance work orders, inspection, repairs, cleaning, reports, complaints.

CY+2

**CY+2**

Does not include building or facility specifications which are kept Permanently.

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; 2 years after completion

09-08-00 Wastewater Treatment Group

## 09-08-01 Operations

Collections, landfill, facilities, incineration plans & operators, maintenance & operations, rates.

CY+2

**CY+2**

HISTORY OF CITY-OWNED SANITATION SYSTEMS & SEPTIC TANK MAPS ARE KEPT PERMANENTLY.

## Citations:

GC 34090; 2 year minimum requirement

State of California Guidelines; Current year plus 2 years

## 09-08-02 Expansion

AC+5

**PERM****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**09-00-00 Public Works Function**09-08-00 Wastewater Treatment Group

AC+5

**PERM**

Construction of City-owned facilities or Capital Improvement Projects are kept Permanently. Permanent retention period applies to plans, specs, and maps.

All backup documents are retained for 10Y after project completion, including correspondence, invoice copies, purchase orders and miscellaneous information.

## Citations:

GC 34090a - City-owned property related files are permanent

29 USC 1113 - Statute of Limitations, 4Y

CCP 337 - California statutes of limitations on general contracts, 4Y

GC 25105-1 - Claims against the City, 5Y after completion

CCP 337.15; 10 years after completion

State of California Guidelines, Permanent

09-09-00 Public Works Projects Group

## 09-09-01 Private Projects

AC+5

**PERM**

Private facilities and building projects. Projects are filed by sequential project number (beginning point forward in 07/08 fiscal year). Permanent retention period applies to plans, specs, and maps.

All backup documents are retained for 10Y after project completion, including correspondence, invoice copies, purchase orders and miscellaneous information.

## Citations:

29 USC 1113 - Statute of Limitations, 4Y

CCP 337 - California statutes of limitations on general contracts, 4Y

GC 25105-1 - Claims against the City, 5Y after completion

CCP 337.15; 10 years after completion

State of California Guidelines, Permanent

## 09-09-02 Public &amp; Capital Improvement Projects

AC+5

**PERM****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-09-00 Public Works Projects Group

AC+5

**PERM**

City of Pinole & RDA owned facilities, parks, trails, etc. Projects are filed by sequential project number (beginning point forward in 07/08 fiscal year). Permanent retention period applies to plans, specs, and maps.

All backup documents are retained for 10Y after project completion, including correspondence, invoice copies, purchase orders and miscellaneous information.

## Citations:

GC 34090a - City-owned property related files are permanent

29 USC 1113 - Statute of Limitations, 4Y

CCP 337 - California statutes of limitations on general contracts, 4Y

GC 25105-1 - Claims against the City, 5Y after completion

CCP 337.15; 10 years after completion

State of California Guidelines, Permanent

09-10-00 Assessment Districts Group

09-10-01 Underground District

Original documentation.

PERM

**PERM**

## Citations:

GC 34090a; Permanent for land related documents

State of California Guidelines; Permanent for assessment district documents.

09-10-02 Landscaping, Street Lighting &amp; Park Maintenance

Original documentation.

PERM

**PERM**

## Citations:

GC 34090a; Permanent for land related documents

State of California Guidelines; Permanent for assessment district documents.

09-11-00 Maintenance Group

09-11-01 Work Orders

CY

**CY+2****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

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S or SUP - Until superceded

+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-11-00 Maintenance Group

		CY	CY+2
	Electronic files stored in Everest system. If printed, paper is destroyed after work is completed and data entered into Everest.		
	Citations: GC 34090; 2 year minimum requirement		
09-11-02 Vehicles & Equipment	Citations: GC 34090; 2 year minimum State Recommendation; Life of Vehicle or Equipment plus 2 years	LOE+2	LOE+2
09-11-03 Property Damage Restitution	Includes police reports and backup information for restitution of damages to city property.  Citations: GC 34090.7; duplicates may be destroyed within the 2 year minimum period.  Administrative Decision; 3 years after correction/completion	AC+3	AC+3

09-12-00 TAPS Committees Group (Amd.#3 - 12/16/08)

09-12-01 Agendas / Staff Report Packets	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 15 years for reference purposes.	ACT+ 2	ACT+ 15
09-12-02 TAPs Minutes	Record of Proceedings  Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent  Retained in SIRE	CY+2	CY+15
09-12-03 TAPs Packets		CY+2	CY+15

**Legend:** AA - After audit  
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AE - After expiration  
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EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**09-00-00 Public Works Function**09-12-00 TAPS Committees Group (Amd.#3 - 12/16/08)

Agenda &amp; Staff Reports

CY+2

**CY+15**

Citations:

GC 34090; 2 years minimum

State of California Guidelines; Current year plus 2

Administrative Decision: Current Year plus 15 years for reference purposes.

Rev.#3 12/16/08

09-13-00 Pinole-Hercules WPCP JPA Board09-13-00 WPCP JPA Group (Amd.#3 - 12/16/08)

09-13-02 WPCP JPA Minutes

Agenda Packet - Staff Reports

CY+2

**CY+15**

Citations:

GC 34090; 2 years minimum

Administrative Decision: Current Year plus 15 years for reference purposes.

Added Rev#3 - 12/16/08

**Legend:** AA - After audit

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AE - After expiration

AT - After termination

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S or SUP - Until superceded

+[Number] - Plus X years/months

**10-00-00 Community Development Function**10-01-00 General Plan Group

10-01-01 Plan &amp; Elements

Including sphere of influence information, general plan, environmental impact reports, and policy development.

PERM

**PERM**

Record series modified on 9/7/2004 to include the plan and plan development reports/documents. Workpapers may be retained for completion of plan plus 2 years per GC 34090.

Citations:

GC 34090a; Permanent for city land related documents.

State of California Guidelines; Permanent

10-01-02 Amendments - Approved

Not development related.

AC+2

**AC+2**

Citations:

GC 34090; 2 year minimum

State of California Guidelines; Completion plus 2 years for approved amendments

10-01-03 Series Available for Use

10-01-04 Specific Plans

Permanent retention pertains to maps, plans, drawings, exhibits, and or photos for the Specific Plan.

PERM

**PERM**

Citations:

GC34090a; City owned property related documents.

H&amp;S 19850; Permanent for plans and maps

10-02-00 Community Development Group**10-02-01 Planning Application Files**

PERM

**PERM****Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**10-00-00 Community Development Function**10-02-00 Community Development Group

		Active Ret.	Total Ret.
	Application / Case files including: Planned Developments, Conditional Use Permits, Design Review, Variances, Lot Line Adjustments, Certificates of Compliance, Appeals, or any other planning related matter.  Files to include application, approved plans, and accompanying material, environmental documents, including negative declarations and environmental assessments.  Citations: GC 34090a; Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property State of California Guidelines; Permanent	PERM	PERM
10-02-02 Zoning Ordinance Amendments	Citations: GC 34090a; Real property records, maintain GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions.	PERM	PERM
<b>10-02-03 Building Permits</b>	Original permit is scanned upon final, and paper copy is retained with the Address/Street File. The image copy of the permit is the Official Record, and paper copies are to be destroyed after 2 years, based on verification of a satisfactory image.  Final plans/drawings are retained as follows: - Commercial/Multi-family Residential/Master Plans - Permanent - Single Family Residential - 180 days after final Official copy of plans and drawings are maintained electronically. Paper copies of maps are to be destroyed after imaging.  Citations: GC 34090a; Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property State of California Guidelines; Permanent	PERM	PERM

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

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+[Number] - Plus X years/months

**10-00-00 Community Development Function**10-02-00 Community Development Group

10-02-04 Building Code Revisions	Citations: GC 34090e; Permanent for legislative documents of the City	PERM	<b>PERM</b>
10-02-05 Fee Schedules	Specific plan  Citations: GC 34090; 2 year minimum	SUP+2	<b>SUP+2</b>
<b>10-02-06 Planning Studies</b>	Citations: GC 34090; 2 year minimum State of California Guidelines; Completion of study plus 2 years	AC+2	<b>AC+2</b>
10-02-07 Projects in Adjacent Jurisdictions	Request for Comments and Comments on Projects in adjacent jurisdictions  Citations: GC 34090; 2 year minimum	CY+2	<b>CY+2</b>
<b>10-02-08 Rezoning</b>	Retention period assigned to this record series as of 4/5/05.  Citations: GC 34090a; Permanent for property related documents. GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions. State of California Guidelines; Permanent	CY+5	<b>PERM</b>
<b>10-02-09 Rental Inspection Permits</b>	Corresponds with business licenses.  Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations  Administrative Decision: 4 years after inspection is completed.	AC+3	<b>AC+4</b>
<b>10-02-10 Planned Developments</b>	Citations: GC 34090a; Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property State of California Guidelines; Permanent	PERM	<b>PERM</b>

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CM - Current month  
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PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**10-00-00 Community Development Function**10-02-00 Community Development Group

10-02-11 Transportation Planning

Citations:  
Added 3/2/08  
Measure C Project Files

LP + 2

**LP + 5**10-03-00 Planning Commission Group

10-03-01 Agenda/Notices

Citations:  
GC 34090; 2 years minimum  
Administrative Decision: Current Year plus 15 years for reference purposes.

CY+2

**CY+15**

10-03-02 Minutes

Citations:  
GC 34090e; Minutes of governing bodies, Permanent  
GC 36814; Maintain record of proceedings  
GC 40801; Maintain record of proceedings  
State of California Guidelines; Permanent

PERM

**PERM**

10-03-03 Meeting Schedules

Citations:  
GC 34090; 2 years minimum

CY+2

**CY+2**

10-03-04 Public Hearing Notices / Legal Notices

Includes legal notice published in the newspaper.

CY+2

**CY+4**Citations:  
GC 34090; 2 year minimum  
CCP 343, 349; Statutes of limitations

10-03-05 Staff Reports/Agenda Packets

Planning Commission Packet Reports / Agenda Packets  
Pre-2008 - file contain only staff reports. Post 2008-complete packets  
Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; Current year plus 2  
Administrative Decision: Current Year plus 15 years for reference purposes.  
Rev.#3 12/16/08

CY+2

**CY+15**

10-03-06 Resolutions

Citations:  
GC 34090; 2 year minimum  
GC 40801-14; Maintain  
State of California Guidelines; Permanent

PERM

**PERM**10-04-00 Design Review Board Group**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

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EY - Event year

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LOS or LOE - Life of system/equipment

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REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**10-00-00 Community Development Function**10-04-00 Design Review Board Group

10-04-01 Agenda/Notices	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 15 years for reference purposes.	CY+2	<b>CY+15</b>
10-04-02 Minutes	Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>
10-04-03 Meeting Schedules	Citations: GC 34090; 2 years minimum	CY+2	<b>CY+2</b>
10-04-04 Staff Reports	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 Administrative Decision: Current Year plus 15 years for reference purposes.	CY+2	<b>CY+15</b>

10-05-00 EDHAC - Economic Development & Housing Advisory Committee

10-05-01 Agenda/Notices	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 15 years for reference purposes	CY+2	<b>CY+15</b>
10-05-02 Minutes	Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>

10-05-00 EDHAC - Economic Development & Housing Advisory Committee10-06-00 Environmental Review Group

10-06-01 Environmental Impact Reports		PERM	<b>PERM</b>
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**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**10-00-00 Community Development Function**10-06-00 Environmental Review Group

PERM

**PERM**

This record series is listed for reports that are not filed within the planning application or street address file.

## Citations:

GC 34090; 2 year minimum

CEQA Guidelines

State of California Guidelines; Permanent

10-07-00 Subdivisions Group**10-07-01 Subdivisions**

CY+10

**PERM**

Construction correspondence, including material testing, punchlists, and general correspondence regarding construction projects, may be destroyed 10 years after the construction is completed per CCP 337.15.

## Citations:

GC 65865; Life of contract

GC 65869.5; Modification after the fact

CCP 337.15; SOL is 10 years after development completion

CCP 337.2; SOL, real property lease is 4 years

CCP 343; SOL is general action, 4 years

48 CFR 4.703-4; Contractor Records is 4 years after completion, State of California Guidelines; Permanent

**10-07-02 Minor Subdivisions**

CY+10

**PERM**

Construction correspondence, including material testing, punchlists, and general correspondence regarding construction projects, may be destroyed 10 years after the construction is completed per CCP 337.15.

## Citations:

GC 65865; Life of contract

GC 65869.5; Modification after the fact

CCP 337.15; SOL is 10 years after development completion

CCP 337.2; SOL, real property lease is 4 years

CCP 343; SOL is general action, 4 years

48 CFR 4.703-4; Contractor Records is 4 years after completion, State of California Guidelines; Permanent

10-08-00 Code Enforcement Group**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 87

**10-00-00 Community Development Function**10-08-00 Code Enforcement Group**10-08-01 Abandoned Vehicles**

DOES NOT INCLUDE recorded liens and releases, or Federal and State reports, which are kept permanently.

AC+3

**AC+3**

## Citations:

GC 34090; 2 year minimum

40 CFR 141.33; 3 years for violation correction

State of California Guidelines; 2 years after correction/completion

**10-08-02 Case/Violation Files**

Records are for building, housing and mobile home code violation records including inspections, public nuisance, rubbish and weed abatement, vehicle abatement, citations, intake forms about violation and reporting party, reports (contacts, investigation process, findings, disposition of the case), warning notices, photographs, notices of compliance.

AC+5

**AC+5**

DOES NOT INCLUDE recorded liens and releases, or Federal and State reports, which are kept permanently.

## Citations:

GC 34090; 2 year minimum

40 CFR 141.33; 3 years for violation correction

State of California Guidelines; 2 years after correction/completion

Administrative Decision: Permanent

**10-08-03 Logs**

Lien recovery, citations, complaints.

**CY+2****CY+2**

## Citations:

GC 34090; 2 year minimum

40 CFR 141.33; 3 years for violation correction

**10-08-04 Regulations**

Includes rules.

**SUP+5****SUP+5**

## Citations:

GC 34090; 2 year minimum

Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.

**10-08-05 Reports - Federal & State**

PERM

**PERM**

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

# 10-00-00 Community Development Function

## 10-08-00 Code Enforcement Group

Code enforcement statistics; may contain records affecting title to real property or liens thereon.

PERM PERM

Citations:  
GC 34090a; Permanent for property related documents  
State of California Guidelines; Permanent for reports

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**11-00-00 Senior Center Function**11-01-00 Senior Center Board of Directors Group

11-01-01 Agenda	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 10 years for reference purposes.	CY+2	<b>CY+10</b>
11-01-02 Minutes	Official minutes.  Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>
11-01-03 Financial Reports to Board	Copies of financial reports and information to Board of Directors.  Citations: GC 34090.7; Duplicates and copies may be destroyed within the 2 year minimum period.	CY+2	<b>CY+2</b>

11-02-00 Pinole Area Senior Foundation Group

11-02-01 Agenda	Copies  Citations: GC 34090.7; Duplicates and copies may be destroyed within the 2 year minimum period.	CY+2	<b>CY+2</b>
11-02-02 Minutes	Copies  Official copies of minutes should be maintained according to the following citations:  Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>
11-02-03 Financial Reports		CY+2	<b>CY+2</b>

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**11-00-00 Senior Center Function**11-02-00 Pinole Area Senior Foundation Group

		CY+2	<b>CY+2</b>
	Copies of financial reports and information to Board of Directors; Copy of IRS filings		
	Citations: GC 34090.7; Duplicates and copies may be destroyed within the 2 year minimum period.		

11-03-00 Finance & Treasury Group

11-03-01 Finance Committee	Official minutes	PERM	<b>PERM</b>
	Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent		
11-03-02 Deposit Records	Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after audit	AA+2	<b>AA+7</b>
	Administrative Decision: 7 years after audit, to coincide with City Accounting Department records.		
11-03-03 Foundation Tax Returns	Does not include work paper; Copies	PERM	<b>PERM</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent		

11-04-00 Senior Center Activities/Administration Group

11-04-01 Center Projects	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years	CY+2	<b>CY+2</b>
11-04-02 Rental Contracts / Agreements		AT+2	<b>AT+5</b>

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 91
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**11-00-00 Senior Center Function**11-04-00 Senior Center Activities/Adminstration Group

		Active Ret.	Total Ret.
	Citations: GC 34090; 2 years minimum CCP 337.2; Statute of limitations, 4 years CCP 343; Statute of limitations, 4 years State of California Guidelines; 5 years after expiration/termination	AT+2	<b>AT+5</b>
11-04-03 Travel Records	Citations: GC 34090; 2 years minimum	CY+2	<b>CY+2</b>
11-04-04 Visitors Logs	Citations: GC 34090; 2 years minimum	CY+2	<b>CY+2</b>
11-04-05 Newsletter	Historical content  Citations: GC 34090; 2 years minimum  Administrative Decision; Permanent for historical purposes.	PERM	<b>PERM</b>
11-04-06 Maintenance Contracts	Citations: GC 34090; 2 years minimum CCP 337.2; Statute of limitations, 4 years CCP 343; Statute of limitations, 4 years State of California Guidelines; 5 years after expiration/termination	AT+2	<b>AT+5</b>
11-04-07 Work Program Files	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years	CY+2	<b>CY+2</b>
11-04-08 Volunteer Forms	Volunteer's identification and contact information.  Citations: GC 34090; 2 years minimum State of California Guidelines; 2 years after termination/separation	AT+2	<b>AT+2</b>
11-04-09 Volunteer Timesheets		CY+1	<b>CY+3</b>

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

**11-00-00 Senior Center Function**11-04-00 Senior Center Activities/Adminstration Group

CY+1

**CY+3**

## Citations:

GC 34090; 2 year minimum

29 CFR 516.2; Maintain

29 CFR 516.6; 2 years

R&amp;T 19530; 3 years after tax return due

LC 1174; 2 years after pay period

26 CFR 31.6001-1; 4 years after tax return due

State of California Guidelines; 6 years after audit

Administrative Decision: Current year plus 3 years, since volunteers are not paid employees.

## 11-04-10 Member Information Cards

Medical information, emergency contacts.

SUP

**SUP**

## Citations:

Administrative Record; Maintain current contact information for emergencies.

**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months



**12-00-00 Community Affairs / Services Function**12-01-00 Cable Television

12-01-01 City Council & Commission & Board Meeting Video/DVD	Review for historical content. Rev.# 3 - Revise to CY+15 -Dec16, 2008) Citations: GC 34090.7; Duplicate records may be destroyed within the 2 year minimum period. State of California Guidelines; Current month plus 3 months  Administrative Decision: Current month plus 1 month, since information is duplicated in official permanent minutes.	CY+1	<b>CY+15</b>
12-01-02 Community Programs/Special Events	Review for historical content.  Citations: GC 34090; 2 years minimum	EY+2	<b>EY+2</b>
12-01-03 Rates & Fees	Citations: GC 34090; 2 year minimum CCP 337; Statute of limitations State of California Guidelines; 4 years after audit  Administrative Decision: 5 years after audit  RSA Suggestion: Maintain as long as fee schedules listed under Accounting Department	SUP+5	<b>SUP+5</b>
12-01-04 Bulletin Board Request Forms	Citations: GC 34090; 2 years minimum	AE+2	<b>AE+2</b>
12-01-05 Public Access Request Forms	Citations: GC 34090; 2 years minimum CCP 338; Statute of limitations, 3 years for action	AT+3	<b>AT+3</b>
12-01-06 Recording Services - Outside Agencies	Original/Historical copy kept with requesting agency.  Citations: GC 34090.7; Duplicate records may be destroyed within the 2 year minimum period.	CM+1	<b>CM+1</b>
12-01-07 Raw/Miscellaneous Footage		CY+2	<b>CY+2</b>

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 94
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**12-00-00 Community Affairs / Services Function**12-01-00 Cable TelevisionCY+2 **CY+2**Citations:  
GC 34090; 2 years minimum12-02-00 Available for Use12-03-00 Youth Services Group

12-03-01 Membership Forms - Completed

Citations:  
GC 34090; 2 years minimumCY+2 **CY+2**

12-03-02 Volunteer Forms - Completed

Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; 2 years after termination/separationAT+2 **AT+2**

12-03-03 Volunteer Training

Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; 2 years after termination/separationAT+2 **AT+2**

12-03-04 Outreach / Publicity

Citations:  
GC 34090; 2 years minimumCY+2 **CY+2**12-04-00 Youth Programs Group

12-04-01 General Recreation Programs

Includes enrollment information, liability releases, evaluations, attendance,  
program flyersCY+2 **CY+2**Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; Current year plus 2 years

12-04-02 Youth Specific Programs

Includes enrollment information, liability releases, evaluations, attendance,  
program flyersCY+2 **CY+2**Citations:  
GC 34090; 2 years minimum  
State of California Guidelines; Current year plus 2 years

12-04-03 Youth Center Programs

CY+2 **CY+2****Legend:** AA - After audit

CM - Current month

LOB - Life of board, commission or committee

REV - Review prior to destruction

Page 95

AC - After closure/completion/correction

CY - Current year

LOS or LOE - Life of system/equipment

S or SUP - Until superceded

AE - After expiration

EY - Event year

PERM - Permanent

+[Number] - Plus X years/months

AT - After termination

**12-00-00 Community Affairs / Services Function**12-04-00 Youth Programs Group

			CY+2	<b>CY+2</b>
	Includes enrollment information, liability releases, evaluations, attendance, program flyers			
	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years			
12-04-04 Other Programs & Services	Includes enrollment information, liability releases, evaluations, attendance, program flyers, park and facility reservations		CY+2	<b>CY+2</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years			
12-04-05 Sign-in Sheets	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years		CY+2	<b>CY+2</b>
12-04-06 Playground Audits	Citations: GC 34090; 2 year minimum 42 USC 1983; Definitions GC 25105.5; 5 years after closure/completion 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. GC 910 - 913; 6 months to 1 year after event occurs. State of California Guideline; 5 years after settlement or closure		PERM	<b>PERM</b>
	Administrative Decision: Permanent			
12-04-07 Athletic Contracts	Citations: GC 34090; 2 years minimum CCP 337.2; Statute of limitations, 4 years CCP 343; Statute of limitations, 4 years State of California Guidelines; 5 years after expiration/termination		AT+5	<b>AT+5</b>

12-05-00 Pinole Youth Foundation Group

12-05-01 Foundation Formation			PERM	<b>PERM</b>
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<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 96
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**12-00-00 Community Affairs / Services Function**12-05-00 Pinole Youth Foundation Group

12-05-02 Agenda	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 10 years for reference purposes.	CY+2	<b>CY+10</b>
12-05-03 Minutes	Official Minutes  Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>
12-05-04 Board of Directors	Citations: GC 34090; 2 year minimum State of California Guidelines; Permanent	CY+2	<b>PERM</b>
12-05-05 Foundation Funding	Citations: GC 34090; 2 year minimum GC 40802; city clerk/Finance Department shall maintain financial records of the city GC 53901; maintain financial records on file, file budget with county State of California Guidelines; Permanent	CY+4	<b>PERM</b>
12-05-06 Accounting	Citations: GC 34090; 2 year minimum GC 40802; city clerk/Finance Department shall maintain financial records of the city GC 53901; maintain financial records on file, file budget with county State of California Guidelines; Permanent	CY+4	<b>PERM</b>
12-05-07 Board of Directors Insurance	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	PERM	<b>PERM</b>

12-06-00 Youth Commission Group

12-06-01 Agenda	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 10 years for reference purposes.	CY+2	<b>CY+10</b>
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**Legend:** AA - After audit  
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AE - After expiration  
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CM - Current month  
CY - Current year  
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LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**12-00-00 Community Affairs / Services Function**12-06-00 Youth Commission Group

12-06-02 Minutes	Official minutes.  Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>
12-06-03 Staff Notes	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2	CY+2	<b>CY+2</b>
12-06-04 Commission Programs & Collaborations	Not related to grants or bonds  Citations: GC 34090; 2 year minimum	AC+2	<b>AC+2</b>

**Legend:** AA - After audit  
AC - After closure/completion/correction  
AE - After expiration  
AT - After termination

CM - Current month  
CY - Current year  
EY - Event year

LOB - Life of board, commission or committee  
LOS or LOE - Life of system/equipment  
PERM - Permanent

REV - Review prior to destruction  
S or SUP - Until superceded  
+[Number] - Plus X years/months

**13-00-00 Redevelopment Agency Function**13-01-00 General Redevelopment Agency Group

13-01-01 Agency Master Documents & Plans	State mandated reports for the agency. Includes redevelopment agency, implementation, strategic and amended plans.  Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	CY+2	<b>PERM</b>
13-01-02 Strategic Planning	Citations: GC 34090; 2 years State of California Guidelines; 2 years after superseded for strategic plans.  Administrative Decision: Current year plus 5 years for implementation purposes.	CY+5	<b>CY+5</b>
13-01-03 Surveys & Studies	Citations: GC 34090; 2 year minimum State of California Guidelines; Closure of study plus 2 years  Administrative Decision: Current year plus 5 years	AC+2	<b>CY+5</b>
13-01-04 Consultants	Citations: State of California Guidelines; Administrative Record, keep while current.	SUP	<b>SUP</b>
13-01-05 Community Groups	Citations: State of California Guidelines; Administrative Record, keep while current.	SUP	<b>SUP</b>
13-01-06 Housing Interest Organizations / Advocates	State mandated reports for the agency  Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent	CY+2	<b>PERM</b>

13-02-00 Redevelopment Agency Secretary Group

13-02-01 Agenda / Notices	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 10 years for reference purposes.	CY+2	<b>CY+10</b>
13-02-02 Minutes		PERM	<b>PERM</b>

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 99
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				

**13-00-00 Redevelopment Agency Function**13-02-00 Redevelopment Agency Secretary Group

		Active Ret.	Total Ret.
	Official minutes	PERM	PERM
	Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent		
13-02-03 Meeting Schedules	Citations: GC 34090; 2 years minimum	CY+2	CY+2
13-02-04 Agency Reports/Packets	Includes documents in meeting/agenda packets	CY+15	CY+15
	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 Administrative Decision: Current Year plus 15 years for reference purposes.		
13-02-05 AVAILABLE FOR USE		CY+2	CY+2
13-02-06 Ordinances	Copies (or second originals) of City Council Ordinances regarding the Redevelopment Agency and Pinole Vista Project Area maintained for historical value.	PERM	PERM
	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent		
13-02-07 Resolutions	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent	PERM	PERM

13-03-00 Redevelopment Agency Subcommittee Group

13-03-01 Agenda / Notices		CY+5	CY+5
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**Legend:** AA - After audit

AC - After closure/completion/correction

AE - After expiration

AT - After termination

CM - Current month

CY - Current year

EY - Event year

LOB - Life of board, commission or committee

LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 100

**13-00-00 Redevelopment Agency Function**13-03-00 Redevelopment Agency Subcommittee Group

			CY+5	<b>CY+5</b>
	Agendas included with Staff Report/Packets (13-03-04) file in Central Files -City Clerk			
	Citations: GC 34090; 2 years minimum Administrative Decision: Current Year plus 10 years for reference purposes.			
13-03-02 Minutes	As of 2/22/2005, no formal minutes taken at RDA Subcommittee.		PERM	<b>PERM</b>
	Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent			
13-03-03 Meeting Schedules	Citations: GC 34090; 2 years minimum		CY+2	<b>CY+2</b>
13-03-04 Staff Reports/Packets	Includes staff reports and agenda to the RDA Subcommittee		CY +10	<b>CY + 15</b>
	Citations: GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 Administrative Decision: Current Year plus 5 years for reference purposes.			

13-04-00 Projects Group

13-04-01 Community Events	Citations: GC 34090; 2 year minimum		CY+2	<b>CY+4</b>
	Administrative Decision: Current year plus 4 years for reference purposes.			
13-04-02 School Projects	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition		AC+2	<b>AC+4</b>

<b>Legend:</b>	AA - After audit	CM - Current month	LOB - Life of board, commission or committee	REV - Review prior to destruction	Page 101
	AC - After closure/completion/correction	CY - Current year	LOS or LOE - Life of system/equipment	S or SUP - Until superceded	
	AE - After expiration	EY - Event year	PERM - Permanent	+ [Number] - Plus X years/months	
	AT - After termination				



**13-00-00 Redevelopment Agency Function**13-04-00 Projects Group

13-04-03 Public Facilities Projects	Citations: GC 34090a; Real property records, maintain GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property CCP 337.15; 10 years State of California Guidelines; Permanent	AC+2	<b>PERM</b>
13-04-04 Development Projects	Includes mixed-use project information  Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition	AC+2	<b>AC+4</b>
13-04-05 Community Development Block Grant Projects	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition	AC+2	<b>AC+4</b>
13-04-06 Housing Projects	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition	AC+2	<b>AC+4</b>
13-04-07 Parks Projects	Citations: GC 34090a; Real property records, maintain GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property CCP 337.15; 10 years State of California Guidelines; Permanent	AC+2	<b>PERM</b>

**Legend:** AA - After audit

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EY - Event year

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LOS or LOE - Life of system/equipment

PERM - Permanent

REV - Review prior to destruction

S or SUP - Until superceded

+[Number] - Plus X years/months

Page 102

**13-00-00 Redevelopment Agency Function**13-04-00 Projects Group

13-04-08 Public Arts Projects	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition	AC+2	<b>AC+4</b>
13-04-09 Community Projects & Programs	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition	AC+2	<b>AC+4</b>
13-04-10 Community Group Funding Program	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition	AC+2	<b>AC+4</b>

13-05-00 Loans Group

13-05-01 First Time Home Buyers Program Loans	Citations: 24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition State of California Guidelines; Closure of loan plus 3 years  Administrative Decision: Closure of loan plus 5 years	AC+1	<b>AC+5</b>
13-05-02 Residential Rehabilitation Program Loans		AC+1	<b>AC+5</b>

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S or SUP - Until superceded  
+[Number] - Plus X years/months

**13-00-00 Redevelopment Agency Function**13-05-00 Loans Group

		AC+1	AC+5
	<p>The retention period of this Residential Rehab Loans is tied to a \$30,000 maximum funding amount on the property. The Residential Rehab project files must be maintained until the \$30,000 maximum is reached, and not to a finite period of time.</p> <p>Dual files are made for this record series to keep recorded documents in firesafe file. When payoff is received, the recorded documents are transferred to the "working" file and the firesafe file is destroyed. (9/6/05)</p> <p>Citations:            24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan            24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission of last expenditure report            OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition            State of California Guidelines; Closure of loan plus 3 years</p> <p>Administrative Decision: Closure of loan plus 5 years</p>		
13-05-03 Peace Officers Home Assistance Program Loans	<p>Citations:            24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan            24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission of last expenditure report            OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition            State of California Guidelines; Closure of loan plus 3 years</p> <p>Administrative Decision: Closure of loan plus 5 years</p>	AC+1	AC+5
13-05-04 Employer Assisted Housing Program Loans		AC+1	AC+5

**Legend:** AA - After audit  
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 +[Number] - Plus X years/months

**13-00-00 Redevelopment Agency Function**13-05-00 Loans Group

		AC+1	AC+5
	<p>Citations:            24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan            24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission            of last expenditure report            OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure            report or final disposition            State of California Guidelines; Closure of loan plus 3 years</p> <p>Administrative Decision: Closure of loan plus 5 years</p>		
13-05-05 Multi-Family Residential Rehabilitation Program Loans	<p>Citations:            24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan            24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission            of last expenditure report            OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure            report or final disposition            State of California Guidelines; Closure of loan plus 3 years</p> <p>Administrative Decision: Closure of loan plus 5 years</p>	AC+1	AC+5
13-05-06 Commercial Rehabilitation Program Loans	<p>Citations:            24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan            24 CFR 85.42; Grants &amp; co-operative agreements, 3 years after submission            of last expenditure report            OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure            report or final disposition            State of California Guidelines; Closure of loan plus 3 years</p> <p>Administrative Decision: Closure of loan plus 5 years</p>	AC+1	AC+5
13-05-07 Mixed Use Loans		AC+1	AC+5

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 PERM - Permanent

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 S or SUP - Until superceded  
 +[Number] - Plus X years/months

**13-00-00 Redevelopment Agency Function**13-05-00 Loans GroupAC+1 **AC+5**

## Citations:

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission  
 of last expenditure report  
 OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure  
 report or final disposition  
 State of California Guidelines; Closure of loan plus 3 years

Administrative Decision: Closure of loan plus 5 years

## 13-05-08 Housing Loans

AC+1 **AC+5**

## Citations:

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission  
 of last expenditure report  
 OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure  
 report or final disposition  
 State of California Guidelines; Closure of loan plus 3 years

Administrative Decision: Closure of loan plus 5 years

## 13-05-09 Commercial Loans

AC+1 **AC+5**

## Citations:

24 CFR 570.502(b)(3); Deeds/CDBG activities, 4 years after closure of loan  
 24 CFR 85.42; Grants & co-operative agreements, 3 years after submission  
 of last expenditure report  
 OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure  
 report or final disposition  
 State of California Guidelines; Closure of loan plus 3 years

Administrative Decision: Closure of loan plus 5 years

13-06-00 Affordable Housing Compliance

## 13-06-01 Housing Reports

CY+ 1 **CY+9**

HCD - State of CA Annual Reports  
 Agency Reports  
 Board Memos  
 Production requirements analysis

Retention Period Determined by City Attorney.

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Page 106

AC - After closure/completion/correction

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LOS or LOE - Life of system/equipment

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+[Number] - Plus X years/months

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**13-00-00 Redevelopment Agency Function**13-06-00 Affordable Housing Compliance

13-06-02 Compliance Audits	Tenant Income/Audit Documents Tenant Certification Forms completed by individual tenants	CY+ 1	<b>CY+ 9</b>
13-06-03 Project Address Files	Project address files Contains: all agreements, covenants, and associated documents (copies only) and related administrative documents and project manager notes	CY+ 1	<b>CY+ 9</b>

14-01-00 Financing Authority Secretary Group

14-01-01 Agenda / Notices	Citations: GC 34090; 2 years minimum State of California Guidelines; Permanent for administrative documents of any Public Financing Authority	CY+2	<b>PERM</b>
14-01-02 Minutes	Citations: GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent	PERM	<b>PERM</b>
14-01-03 Resolutions	Citations: GC 34090; 2 year minimum GC 40801-14; Maintain State of California Guidelines; Permanent	PERM	<b>PERM</b>

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+[Number] - Plus X years/months

## 15-00-00-Oversight Board of the Successor Agency to the Pinole Redevelopment Agency

### 15-01-00-Agendas

### 15-02-00-Minutes

### 15-03-00-Board Packets

### 15-04-00-Resolutions

### 15-05-00-Financial Reports

15-05-01 Enforceable Obligation Payment Schedules

CY+2

**PERM**

15-05-02 Successor Agency Administrative Report

CY+2

**PERM**

15-05-03 State & County Reports

CY+2

**PERM**

15-05-04 Accounting & Reporting Procedures

### 15-06-00-Financial Documents

### 16-01-01-Agenda Packets

### 16-01-02-Successor Agency Minutes

### 16-01-03-Successor Agency Resolutions

### 16-01-04-Governing Board Resolutions & Documents

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Page 108

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**ATTACHMENT B: STANDARD PROFESSIONAL SERVICES CONTRACT**



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**CONSULTING SERVICES  
AGREEMENT BETWEEN THE CITY OF  
PINOLE AND  
[NAME OF CONSULTANT]**

THIS AGREEMENT for consulting services is made by and between the City of Pinole ("City") and \_\_\_\_\_ ("Consultant") (together sometimes referred to as the "Parties") as of \_\_\_\_\_, 20\_\_\_\_ (the "Effective Date") in Pinole, California.

**Section 1. SERVICES.** Subject to the terms and conditions set forth in this Agreement, Consultant shall provide to City the services described in the Scope of Work attached as Exhibit A at the time and place and in the manner specified therein. In the event of a conflict in or inconsistency between the terms of this Agreement and Exhibit A, the Agreement shall prevail.

- 1.1 **Term of Services.** The term of this Agreement shall begin on the Effective Date and shall end on \_\_\_\_\_, and Consultant shall complete the work described in Exhibit A by that date, unless the term of the Agreement is otherwise terminated or extended, as provided for in Section 8. The time provided to Consultant to complete the services required by this Agreement shall not affect the City's right to terminate the Agreement, as provided for in Section 8.
- 1.2 **Standard of Performance.** Consultant shall perform all services required pursuant to this Agreement in the manner and according to the standards observed by a competent practitioner of the profession in which Consultant is engaged in the geographical area in which Consultant practices its profession. Consultant shall prepare all work products required by this Agreement in a professional manner and shall conform to the standards of quality normally observed by a person practicing in Consultant's profession.
- 1.3 **Assignment of Personnel.** Consultant shall assign only competent personnel to perform services pursuant to this Agreement. In the event that City, in its sole discretion, at any time during the term of this Agreement, desires the reassignment of any such persons, Consultant shall, immediately upon receiving notice from City of such desire of City, reassign such person or persons.
- 1.4 **Time.** Consultant shall devote such time to the performance of services pursuant to this Agreement as may be reasonably necessary to meet the standard of performance provided in Section 1.1 above and to satisfy Consultant's obligations hereunder.

**Section 2. COMPENSATION.** City hereby agrees to pay Consultant an amount not to exceed \_\_\_\_\_, for all work set forth in Exhibit A and all reimbursable expenses incurred in performing the work. In the event of a conflict between this Agreement and Consultant's proposal regarding the amount of compensation, the Agreement shall prevail. City shall pay \_\_\_\_\_

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Consultant for services rendered pursuant to this Agreement at the time and in the manner set forth herein. The payments specified below shall be the only payments from City to Consultant for services rendered pursuant to this Agreement.

Consultant shall submit all invoices to City in the manner specified herein. Except as specifically authorized by City, Consultant shall not bill City for duplicate services performed by more than one person.

Consultant and City acknowledge and agree that compensation paid by City to Consultant under this Agreement is based upon Consultant's estimated costs of providing the services required hereunder, including salaries and benefits of employees and subcontractors of Consultant. Consequently, the parties further agree that compensation hereunder is intended to include the costs of contributions to any pensions and/or annuities to which Consultant and its employees, agents, and subcontractors may be eligible. City therefore has no responsibility for such contributions beyond compensation required under this Agreement.

2.1 **Invoices.** Consultant shall submit invoices, not more often than once a month during the term of this Agreement, based on the cost for services performed and reimbursable costs incurred prior to the invoice date. Invoices shall contain the following information:

- Serial identifications of progress bills; i.e., Progress Bill No. 1 for the first invoice, etc.;
- The beginning and ending dates of the billing period;
- A Task Summary containing the original contract amount, the amount of prior billings, the total due this period, the balance available under the Agreement, and the percentage of completion;
- At City's option, for each work item in each task, a copy of the applicable time entries or time sheets shall be submitted showing the name of the person doing the work, the hours spent by each person, a brief description of the work, and each reimbursable expense;
- The total number of hours of work performed under the Agreement by Consultant and each employee, agent, and subcontractor of Consultant performing services hereunder, as well as a separate notice when the total number of hours of work by Consultant and any individual employee, agent, or subcontractor of Consultant reaches or exceeds 800 hours, which shall include an estimate of the time necessary to complete the work described in Exhibit A;
- The Consultant's signature.

2.2 **Monthly Payment.** City shall make monthly payments, based on invoices received, for services satisfactorily performed, and for authorized reimbursable costs incurred. City shall have 30 days from the receipt of an invoice that complies with all of the requirements above to pay Consultant.

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2.3 **Final Payment.** City shall pay the last 10% of the total sum due pursuant to this Agreement within sixty (60) days after completion of the services and submittal to City of a final invoice, if all services required have been satisfactorily performed.

2.4 **Total Payment.** City shall pay for the services to be rendered by Consultant pursuant to this Agreement. City shall not pay any additional sum for any expense or cost whatsoever

incurred by Consultant in rendering services pursuant to this Agreement. City shall make no payment for any extra, further, or additional service pursuant to this Agreement.

In no event shall Consultant submit any invoice for an amount in excess of the maximum amount of compensation provided above either for a task or for the entire Agreement, unless the Agreement is modified prior to the submission of such an invoice by a properly executed change order or amendment.

2.5 **Hourly Fees.** Fees for work performed by Consultant on an hourly basis shall not exceed the amounts shown on the following fee schedule attached hereto as Exhibit B.

2.6 **Reimbursable Expenses.** Reimbursable expenses are specified in Exhibit B, and shall not exceed (\$ [REDACTED]). Expenses not listed in Exhibit B are not chargeable to City. Reimbursable expenses are included in the total amount of compensation provided under this Agreement that shall not be exceeded.

2.7 **Payment of Taxes.** Consultant is solely responsible for the payment of employment taxes incurred under this Agreement and any similar federal or state taxes.

2.8 **Payment upon Termination.** In the event that the City or Consultant terminates this Agreement pursuant to Section 8, the City shall compensate the Consultant for all outstanding costs and reimbursable expenses incurred for work satisfactorily completed as of the date of written notice of termination. Consultant shall maintain adequate logs and timesheets in order to verify costs incurred to that date.

2.9 **Authorization to Perform Services.** The Consultant is not authorized to perform any services or incur any costs whatsoever under the terms of this Agreement until receipt of authorization from the Contract Administrator.

**Section 3. FACILITIES AND EQUIPMENT.** Except as set forth herein, Consultant shall, at its sole cost and expense, provide all facilities and equipment that may be necessary to perform the services required by this Agreement. City shall make available to Consultant only the facilities and equipment listed in Exhibit C, and only under the terms and conditions set forth therein.

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**Section 4. INSURANCE REQUIREMENTS.** Before beginning any services under this Agreement, Consultant, at its own cost and expense, shall procure the types and amounts of insurance specified herein and maintain that insurance throughout the term of this Agreement. The cost of such insurance shall be included in the Consultant's bid or proposal. Consultant shall be fully responsible for the acts and omissions of its subcontractors or other agents.

4.1 **Workers' Compensation.** Consultant shall, at its sole cost and expense, maintain Statutory Workers' Compensation Insurance and Employer's Liability Insurance for any and all persons employed directly or indirectly by Consultant in the amount required by applicable law. The requirement to maintain Statutory Workers' Compensation and Employer's Liability Insurance may be waived by the City upon written verification that Consultant is a sole proprietor and does not have any employees and will not have any employees during the term of this Agreement.

#### 4.2 Commercial General and Automobile Liability Insurance.

4.2.1 **General requirements.** Consultant, Consultant, at its own cost and expense, shall maintain commercial general and automobile liability insurance for the term of this Agreement in an amount not less than TWO MILLION DOLLARS (\$2,000,000) per occurrence and FOUR MILLION DOLLARS (\$4,000,000) aggregate, combined single limit coverage for risks associated with the work contemplated by this Agreement.

4.2.2 **Minimum scope of coverage.** Commercial general coverage shall be at least as broad as Insurance Services Office Commercial General Liability occurrence form CG 0001 (most recent edition) covering comprehensive General Liability on an "occurrence" basis. Automobile coverage shall be at least as broad as Insurance Services Office Automobile Liability form CA 0001 (most recent edition) covering any auto (Code 1), or if Consultant has no owned autos, hired (code 8) and non-owned autos (Code 9). No endorsement shall be attached limiting the coverage.

4.2.3 **Additional requirements.** Each of the following shall be included in the insurance coverage or added as a certified endorsement to the policy:

- a. The Commercial General and Automobile Liability Insurance shall cover on an occurrence basis.
- b. City, its officers, officials, employees, agents, and volunteers shall be covered as additional insureds for liability arising out of work or operations on behalf of the Consultant, including materials, parts, or equipment furnished in connection with such work or operations; or automobiles owned, leased, hired, or borrowed by the Consultant. Coverage can be provided in the form of an endorsement to the Consultant's insurance at least as broad as CG 20 10 11 85, or both CG 20 10 10 01 and CG 20 37 10 01.
- c. For any claims related to this Agreement or the work hereunder, the Consultant's insurance covered shall be primary insurance as respects the City, its officers,

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officials, employees, agents, and volunteers. Any insurance or self-insurance maintained by the City, its officers, officials, employees, agents or volunteers shall be excess of the Consultant's insurance and non-contributing.

- d. The policy shall cover inter-insured suits and include a "separation of Insureds" or "severability" clause which treats each insured separately.
- e. Consultant agrees to give at least 30 days prior written notice to City before coverage is canceled or modified as to scope or amount.

#### **4.3 Professional Liability Insurance.**

**4.3.1 General requirements.** Consultant, at its own cost and expense, shall maintain for the period covered by this Agreement professional liability insurance for licensed professionals performing work pursuant to this Agreement in an amount not less than ONE MILLION DOLLARS (\$1,000,000) per occurrence or claim covering the Consultant's errors and omissions.

**4.3.2 Claims-made limitations.** The following provisions shall apply if the professional liability coverage is written on a claims-made form:

- a. The retroactive date of the policy must be shown and must be before the date of the Agreement.
- b. Insurance must be maintained and evidence of insurance must be provided for at least five (5) years after completion of the Agreement or the work.
- c. If coverage is canceled or not renewed and it is not replaced with another claims-made policy form with a retroactive date that precedes the date of this Agreement, Consultant must provide extended reporting coverage for a minimum of five (5) years after completion of work under this Agreement.
- d. A copy of the claim reporting requirements must be submitted to the City prior to the commencement of any work under this Agreement.

#### **4.4 All Policies Requirements.**

**4.4.1 Submittal Requirements.** Consultant shall submit the following to City prior to beginning services:

- a. Certificate of Liability Insurance in the amounts specified in this Agreement; and
- b. Additional Insured Endorsement as required for the General Commercial and Automobile Liability Policies.

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- 4.4.2 **Acceptability of insurers.** All insurance required by this section is to be placed with insurers with a Bests' rating of no less than A:VII.
- 4.4.3 **Deductibles and Self-Insured Retentions.** Insurance obtained by the Consultant shall have a self-insured retention or deductible of no more than ONE HUNDRED THOUSAND DOLLARS (\$100,000).
- 4.4.4 **Wasting Policies.** No policy required herein shall include a "wasting" policy limit (i.e. limit that is eroded by the cost of defense).
- 4.4.5 **Waiver of Subrogation.** Consultant hereby agrees to waive subrogation which any insurer or contractor may require from Consultant by virtue of the payment of any loss. Consultant agrees to obtain any endorsements that may be necessary to effect this waiver of subrogation, but this provision applies regardless of whether or not the City has received a waiver of subrogation endorsement from the insurer.
- 4.4.6 **Subcontractors.** Consultant shall include all subcontractors as insureds under its policies or shall furnish separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to all of the requirements stated herein, and Consultant shall ensure that City, its officers, officials, employees, agents, and volunteers are covered as additional insured on all coverages.
- 4.4.7 **Excess Insurance.** If Consultant maintains higher insurance limits than the minimums specified herein, City shall be entitled to coverage for the higher limits maintained by the Consultant.
- 4.5 **Remedies.** In addition to any other remedies City may have if Consultant fails to provide or maintain any insurance policies or policy endorsements to the extent and within the time herein required, City may, at its sole option: 1) obtain such insurance and deduct and retain the amount of the premiums for such insurance from any sums due under the Agreement; 2) order Consultant to stop work under this Agreement and withhold any payment that becomes due to Consultant hereunder until Consultant demonstrates compliance with the requirements hereof; and/or 3) terminate this Agreement.

## **Section 5. INDEMNIFICATION AND CONSULTANT'S RESPONSIBILITIES.**

- 5.1 **General Indemnification.** To the fullest extent permitted by law, Contractor shall defend, indemnify and hold City, its officials, officers, employees, volunteers and agents free and harmless from any and all claims, demands, causes of action, costs, expenses, liability, loss, damage or injury, in law or equity, to property or persons, including wrongful death, in any manner arising out of or incident to any alleged negligent acts, omissions or willful misconduct of Contractor, its officials, officers, employees, agents, subcontractors and subcontractors arising out of or in connection with the performance of the Services, the Project or this Agreement,

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including without limitation the payment of all consequential damages, attorneys' fees and other related costs and expenses. Contractor shall defend, at Contractor's own cost, expense and risk, any and all such aforesaid suits, actions or other legal proceedings of every kind that may be brought or instituted against City, its directors, officials, officers, employees, agents or volunteers. Contractor shall pay and satisfy any judgment, award or decree that may be rendered against City or its directors, officials, officers, employees, agents or volunteers, in any such suit, action or other legal proceeding. Contractor shall reimburse City and its directors, officials, officers, employees, agents and/or volunteers, for any and all legal expenses and costs, including reasonable attorneys' fees, incurred by each of them in connection therewith or in enforcing the indemnity herein provided. Contractor's obligation to indemnify shall not be restricted to insurance proceeds, if any, received by City or its directors, officials, officers, employees, agents or volunteers. Notwithstanding the foregoing, to the extent Contractor's Services are subject to Civil Code Section 2782.8, the above indemnity shall be limited, to the extent required by Civil Code Section 2782.8, to claims that arise out of, pertain to, or relate to the negligence, recklessness, or willful misconduct of the Contractor. This Section 5.1 shall survive any expiration or termination of this Agreement.

- 5.2 **PERS Indemnification.** In the event that Consultant or any employee, agent, or subcontractor of Consultant providing services under this Agreement is determined by a court of competent jurisdiction or the California Public Employees Retirement System (PERS) to be eligible for enrollment in PERS as an employee of City, Consultant shall indemnify, defend, and hold harmless City for the payment of any employee and/or employer contributions for PERS benefits on behalf of Consultant or its employees, agents, or subcontractors, as well as for the payment of any penalties and interest on such contributions, which would otherwise be the responsibility of City.

## Section 6. STATUS OF CONSULTANT.

- 6.1 **Independent Contractor.** At all times during the term of this Agreement, Consultant shall be an independent contractor and shall not be an employee of City. City shall have the right to control Consultant only insofar as the results of Consultant's services rendered pursuant to this Agreement and assignment of personnel pursuant to Subparagraph 1.3; however, otherwise City shall not have the right to control the means by which Consultant accomplishes services rendered pursuant to this Agreement. Notwithstanding any other City, state, or federal policy, rule, regulation, law, or ordinance to the contrary, Consultant and any of its employees, agents, and subcontractors providing services under this Agreement shall not qualify for or become entitled to, and hereby agree to waive any and all claims to, any compensation, benefit, or any incident of employment by City, including but not limited to eligibility to enroll in the California Public Employees Retirement System (PERS) as an employee of City and entitlement to any contribution to be paid by City for employer contributions and/or employee contributions for PERS benefits.

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- 6.2 **Consultant No Agent.** Except as City may specify in writing, Consultant shall have no authority, express or implied, to act on behalf of City in any capacity whatsoever as an agent. Consultant shall have no authority, express or implied, pursuant to this Agreement to bind City to any obligation whatsoever.

## Section 7. LEGAL REQUIREMENTS.

- 7.1 **Governing Law.** The laws of the State of California shall govern this Agreement.
- 7.2 **Compliance with Applicable Laws.** Consultant and any subcontractors shall comply with all laws applicable to the performance of the work hereunder.
- 7.3 **Other Governmental Regulations.** To the extent that this Agreement may be funded by fiscal assistance from another governmental entity, Consultant and any subcontractors shall comply with all applicable rules and regulations to which City is bound by the terms of such fiscal assistance program.
- 7.4 **Licenses and Permits.** Consultant represents and warrants to City that Consultant and its employees, agents, and any subcontractors have all licenses, permits, qualifications, and approvals of whatsoever nature that are legally required to practice their respective professions. Consultant represents and warrants to City that Consultant and its employees, agents, any subcontractors shall, at their sole cost and expense, keep in effect at all times during the term of this Agreement any licenses, permits, and approvals that are legally required to practice their respective professions. In addition to the foregoing, Consultant and any subcontractors shall obtain and maintain during the term of this Agreement valid Business Licenses from City.
- 7.5 **Pinole Business License.** Consultant shall obtain a City of Pinole business license according to the terms of Title 5 of the City of Pinole Municipal Code and deliver to City proof of such business license prior to beginning work under this Agreement. Work under this Agreement cannot begin until the City receives proof that Consultant has obtained a City of Pinole business license.
- 7.6 **Nondiscrimination and Equal Opportunity.** Consultant shall not discriminate, on the basis of a person's race, religion, color, national origin, age, physical or mental handicap or disability, medical condition, marital status, sex, or sexual orientation, against any employee, applicant for employment, subcontractor, bidder for a subcontract, or participant in, recipient of, or applicant for any services or programs provided by Consultant under this Agreement. Consultant shall comply with all applicable federal, state, and local laws, policies, rules, and requirements related to equal opportunity and nondiscrimination in employment, contracting, and the provision of any services that are the subject of this Agreement, including but not limited to the satisfaction of any positive obligations required of Consultant thereby.



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Consultant shall include the provisions of this Subsection in any subcontract approved by the Contract Administrator or this Agreement.

## **Section 8. TERMINATION AND MODIFICATION.**

- 8.1 **Termination.** City may cancel this Agreement at any time and without cause upon written notification to Consultant.

In the event of termination, Consultant shall be entitled to compensation for services performed to the effective date of termination; City, however, may condition payment of such compensation upon Consultant delivering to City any or all documents, photographs, computer software, video and audio tapes, and other materials provided to Consultant or prepared by or for Consultant or the City in connection with this Agreement.

- 8.2 **Extension.** City may, in its sole and exclusive discretion, extend the end date of this Agreement beyond that provided for in Subsection 1.1. Any such extension shall be specified in writing by the City. Consultant understands and agrees that if City issues such an extension, City shall have no obligation to provide Consultant with compensation beyond the maximum amount provided for in this Agreement. Similarly, unless authorized

by the City, City shall have no obligation to reimburse Consultant for any otherwise reimbursable expenses incurred during the extension period.

- 8.3 **Amendments.** The parties may amend this Agreement only by a writing signed by all the parties.

- 8.4 **Assignment and Subcontracting.** City and Consultant recognize and agree that this Agreement contemplates personal performance by Consultant and is based upon a determination of Consultant's unique professional competence, experience, and specialized professional knowledge. Moreover, a substantial inducement to City for entering into this Agreement was and is the personal reputation and competence of Consultant. Consultant may not assign this Agreement or any interest therein without the prior written approval of the City. Consultant shall not subcontract any portion of the performance contemplated and provided for herein, other than to the subcontractors noted in the proposal, without prior written approval of the City.

- 8.5 **Survival.** All obligations arising prior to the termination of this Agreement and all provisions of this Agreement allocating liability between City and Consultant shall survive the termination of this Agreement.

- 8.6 **Options upon Breach by Consultant.** If Consultant materially breaches any of the terms of this Agreement, City's remedies shall included, but not be limited to, the following:

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- 8.6.1 Immediately terminate the Agreement;
  - 8.6.2 Retain the plans, specifications, drawings, reports, design documents, and any other work product prepared by Consultant pursuant to this Agreement;
  - 8.6.3 Retain a different consultant to complete the work described in Exhibit A not finished by Consultant; or
  - 8.6.4 Charge Consultant the difference between the cost to complete the work described in Exhibit A that is unfinished at the time of breach and the amount that City would have paid Consultant pursuant to Section 2 if Consultant had completed the work.

## Section 9. KEEPING AND STATUS OF RECORDS.

- 9.1 **Records Created as Part of Consultant's Performance.** All reports, data, maps, models, charts, studies, surveys, photographs, memoranda, plans, studies, specifications, records, files, or any other documents or materials, in electronic or any other form, that Consultant prepares or obtains pursuant to this Agreement and that relate to the matters covered hereunder shall be the property of the City. Consultant hereby agrees to deliver those documents to the City upon termination of the Agreement. It is understood and

agreed that the documents and other materials, including but not limited to those described above, prepared pursuant to this Agreement are prepared specifically for the City and are not necessarily suitable for any future or other use. City and Consultant agree that, until final approval by City, all data, plans, specifications, reports and other documents are confidential and will not be released to third parties without prior written consent of both parties.

- 9.2 **Consultant's Books and Records.** Consultant shall maintain any and all ledgers, books of account, invoices, vouchers, canceled checks, and other records or documents evidencing or relating to charges for services or expenditures and disbursements charged to the City under this Agreement for a minimum of three (3) years, or for any longer period required by law, from the date of final payment to the Consultant to this Agreement.
- 9.3 **Inspection and Audit of Records.** Any records or documents that Section 9.2 of this Agreement requires Consultant to maintain shall be made available for inspection, audit, and/or copying at any time during regular business hours, upon oral or written request of the City. Under California Government Code Section 8546.7, if the amount of public funds expended under this Agreement exceeds TEN THOUSAND DOLLARS (\$10,000.00), the Agreement shall be subject to the examination and audit of the State Auditor, at the request of City or as part of any audit of the City, for a period of three (3) years after final payment under the Agreement.

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## Section 10 MISCELLANEOUS PROVISIONS.

- 10.1 **Attorneys' Fees.** If a party to this Agreement brings any action, including an action for declaratory relief, to enforce or interpret the provision of this Agreement, the prevailing party shall be entitled to reasonable attorneys' fees in addition to any other relief to which that party may be entitled. The court may set such fees in the same action or in a separate action brought for that purpose.
- 10.2 **Venue.** In the event that either party brings any action against the other under this Agreement, the parties agree that trial of such action shall be vested exclusively in the state courts of California in the County of Contra Costa or in the United States District Court for the Northern District of California.
- 10.3 **Severability.** If a court of competent jurisdiction finds or rules that any provision of this Agreement is invalid, void, or unenforceable, the provisions of this Agreement not so adjudged shall remain in full force and effect. The invalidity in whole or in part of any provision of this Agreement shall not void or affect the validity of any other provision of this Agreement.
- 10.4 **No Implied Waiver of Breach.** The waiver of any breach of a specific provision of this Agreement does not constitute a waiver of any other breach of that term or any other term of this Agreement.
- 10.5 **Successors and Assigns.** The provisions of this Agreement shall inure to the benefit of and shall apply to and bind the successors and assigns of the parties.
- 10.6 **Use of Recycled Products.** Consultant shall endeavor to prepare and submit all reports, written studies and other printed material on recycled paper to the extent it is available at equal or less cost than virgin paper.
- 10.7 **Conflict of Interest.** Consultant may serve other clients, but none whose activities within the corporate limits of City or whose business, regardless of location, would place Consultant in a "conflict of interest," as that term is defined in the Political Reform Act, codified at California Government Code Section 81000 *et seq.*

Consultant shall not employ any City official in the work performed pursuant to this Agreement. No officer or employee of City shall have any financial interest in this Agreement that would violate California Government Code Sections 1090 *et seq.*

Consultant hereby warrants that it is not now, nor has it been in the previous twelve (12) months, an employee, agent, appointee, or official of the City. If Consultant was an employee, agent, appointee, or official of the City in the previous twelve months,

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Consultant warrants that it did not participate in any manner in the forming of this Agreement. Consultant understands that, if this Agreement is made in violation of Government Code §1090 *et.seq.*, the entire Agreement is void and Consultant will not be entitled to any compensation for services performed pursuant to this Agreement, including reimbursement of expenses, and Consultant will be required to reimburse the City for any sums paid to the Consultant. Consultant understands that, in addition to the foregoing, it may be subject to criminal prosecution for a violation of Government Code § 1090 and, if applicable, will be disqualified from holding public office in the State of California.

Consultant will comply with all conflict of interest laws and regulations including, without limitation, City's Conflict of Interest Code (on file in the City Clerk's Office). It is incumbent upon the Consultant or Consultant's firm to notify the City pursuant to section 10.10 Notices of any staff changes relating to this Agreement.

- a. In accomplishing the scope of services of this Agreement, all officers, employees and/or agents of Consultant(s), unless as indicated in Subsection b., will be performing a very limited and closely supervised function, and, therefore, are unlikely to have a conflict of interest arise. No disclosures are required for any officers, employees, and/or agents of Consultant, except as indicated in Subsection b.

\_\_\_\_\_  
Initialed by City Attorney's Office

- b. In accomplishing the scope of services of this Agreement, Consultant(s) will be performing a specialized or general service for the City, and there is substantial likelihood that the Consultant's work product will be presented, either written or orally, for the purpose of influencing a governmental decision. As a result, the following Consultant(s) shall be subject to the Disclosure Category "1-5" of the City's Conflict of Interest Code:

\_\_\_\_\_  
\_\_\_\_\_

10.8 **Solicitation.** Consultant agrees not to solicit business at any meeting, focus group, or interview related to this Agreement, either orally or through any written materials.

10.9 **Contract Administration.** This Agreement shall be administered by

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who shall act as the City's representative.  
All correspondence shall be directed to or through \_\_\_\_\_ or his or  
her designee.

10.10 **Notices.** Any written notice to Consultant shall be sent to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Any written notice to City shall be sent to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10.11 **Professional Seal.** Where applicable in the determination of the City, the first page of a technical report, first page of design specifications, and each page of construction drawings shall be stamped/sealed and signed by the licensed professional responsible for the report/design preparation.

10.12 **Integration; Incorporation.** This Agreement, including all the exhibits attached hereto, represents the entire and integrated agreement between City and Consultant and supersedes all prior negotiations, representations, or agreements, either written or oral. All exhibits attached hereto are incorporated by reference herein.

10.13 **Counterparts.** This Agreement may be executed in multiple counterparts, each of which shall be an original and all of which together shall constitute one agreement.

The Parties have executed this Agreement as of the Effective Date.

CITY OF PINOLE

CONSULTANT

\_\_\_\_\_  
Andrew Murray, City Manager

\_\_\_\_\_  
[NAME, TITLE]

Consultant's City of Pinole Business  
License #:\_

Attest:

\_\_\_\_\_

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Heather Bell, City Clerk  
Approved as to Form:

\_\_\_\_\_  
Eric S. Casher, City Attorney

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EXHIBIT A  
SCOPE OF  
SERVICES

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**EXHIBIT B**

**COMPENSATION SCHEDULE AND HOURLY FEES**



EXHIBIT C  
CITY-FURNISHED FACILITIES

City shall furnish physical facilities such as desks, filing cabinets, and conference space, as may be reasonably necessary for Consultant's use while consulting with City employees and reviewing records and the information in possession of the City. The location, quantity, and time of furnishing those facilities shall be in the sole discretion of City. In no event shall City be obligated to furnish any facility that may involve incurring any direct expense, including but not limited to computer, long-distance telephone or other communication charges, vehicles, and reproduction facilities.