



RECORDS RETENTION SCHEDULE

RESOLUTION 68,661-N.S.
NOVEMBER 13, 2018

CITY CLERK DEPARTMENT



City Clerk Department

CITYWIDE RECORDS RETENTION SCHEDULE – PREFACE
Resolution 68,661-N.S. Effective: November 13, 2018

The Records Retention Schedule is a key element for an effective records management program. The Records Retention Schedule adopted as Resolution 68,661-N.S. rescinds and replaces all prior Records Retention Schedules. The 2018 revision of the records retention schedule is based upon a survey of City departments and contains a listing of all records produced or maintained by the City. The Retention Schedule assists the City by documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have administrative, operational, fiscal, or legal value. Other benefits of a Records Retention Schedule are listed below:

- Ensures that records will not be destroyed prematurely;
- Allows records that are no longer useful to be destroyed legally;
- Helps reduce space and equipment necessary for filing records;
- Determines when records may be transferred to storage;
- Organizes and groups related documents by records series;
- Provides information helpful in developing a vital records protection plan.

The Office of the City Attorney provided legal review of each department schedule and all statutory citations. In several instances, the length of retention of a record is extended by the addition of a “department policy” citation wherever the department/division’s actual experience and practice would recommend longer retention.

The General Retention Schedule establishes retention authority for records common to all departments.

If you have any questions relating to records management or the records retention schedule, please contact the City Clerk Department at 981-6900.

RESOLUTION NO. 68,661-N.S.

APPROVING A REVISED CITYWIDE RECORDS RETENTION SCHEDULE IN COMPLIANCE WITH THE CITY OF BERKELEY'S RECORDS MANAGEMENT PROGRAM AND RESCINDING RESOLUTION NO. 65,943-N.S.

WHEREAS, a system for managing the City's information assets, including records retention schedules for the final disposition and scheduled destruction of records and working papers that are no longer needed for administrative, legal, fiscal, historical, or research purposes, is deemed appropriate and essential for the effective conduct of the City's government process; and

WHEREAS, the City of Berkeley desires that no record shall be destroyed or otherwise disposed of by any department of the City unless it is deemed that the record has no further administrative, legal or fiscal value, and that the City Manager or her designee has deemed that the record is inappropriate for historical preservation; and

WHEREAS, Section 34090 of the California Government code provides for the destruction, with certain exceptions outlined below, of any City record, document, instrument, book, paper, etc., without making a copy thereof, after the same is no longer required, if done with the approval of the City Council by resolution and the written consent of the Department Director, City Clerk and City Attorney; and

WHEREAS, the Department Directors, City Attorney and City Clerk have approved in writing the Records Retention Schedule and have consented to the specified retention periods in the Departmental Records Retention Schedules, attached hereto and made a part hereof; and

WHEREAS, retention is not required for non-record copies, preliminary drafts, or notes, which are not retained by the City in the ordinary course of business.

NOW THEREFORE, BE IT RESOLVED by the Council of the City of Berkeley as follows:

1. In accordance with Section 34090 of the California Government Code and Local Government Records Management Guidelines established by the Secretary of State under California Government Code Section 12236, the Council does hereby approve the revised Records Retention Schedule (Exhibit A) and authorizes the disposal of records once their stated retention periods have expired.
2. On each occasion a department desires to dispose of records, a Destruction Authorization Memo listing said records shall be provided to the City Clerk as outlined in the City's Records Management Manual.
3. When a Department Director, City Attorney and City Clerk approve records for destruction, the department and records management staff will document the destruction of records in their destruction logs.

4. This Resolution does not authorize destruction of records set forth in Government Code Section 34090, which include:
 - a. Records affecting title of real property or liens thereon;
 - b. Court records or departmental records on any subject where litigation or audit is pending;
 - c. Record copies of files less than two years old;
 - d. Records required to be kept by statute; and
 - e. The minutes, ordinances, or resolutions of the City Council, or of a City board or commission.
5. The City will make every effort to identify, preserve and catalog historical records deemed of enduring value to the City.
6. The City Manager, or her designee, is hereby authorized, at her discretion, to make available to officials of the University of California Libraries, or any local historical or preservation society, any records or documents scheduled for destruction, excepting confidential records and documents, which will complement and enhance that entity's' archival collections and further their preservation goals.


BE IT FURTHER RESOLVED that Resolution No. 65,943-N.S. is hereby rescinded.

The foregoing Resolution was adopted by the Berkeley City Council on November 13, 2018 by the following vote:

Ayes: Bartlett, Davila, Droste, Hahn, Harrison, Maio, Worthington and Arreguin.

Noes: None.

Absent: Wengraf.

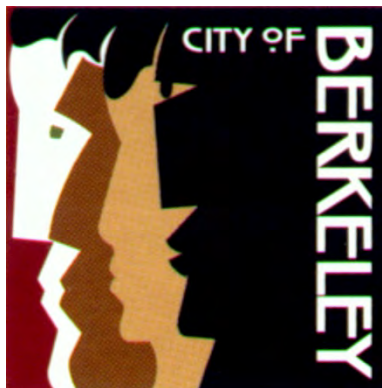


Jesse Arreguin, Mayor

Attest: 

Mark Numainville, City Clerk

CITY CLERK DEPARTMENT
RECORDS RETENTION SCHEDULES
POLICY, OBJECTIVES, &
RESPONSIBILITIES



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I. Program Authority

The Records Management Program for the City of Berkeley is based on state and federal laws and agency guidelines governing public records.

II. Mission

The City of Berkeley Records Management Program exists to protect the City's information assets and manage them more efficiently by employing systematic methods for creation, maintenance, disposition, and retrieval of official City records. Through application of sound records management practices, the program ensures the availability of records and information when needed by City staff and members of the public. These practices also ensure the elimination of unnecessary, redundant records, the preservation of records of continuing value for historical, legal and administrative research, and the destruction of obsolete records in accordance with established guidelines once they reach their approved disposition date.

By controlling the life cycle of records from creation to final disposition, the City will better manage its information assets, facilitate efficient access to information when needed, provide documentation of compliance to state and federal courts and agencies, and preserve a valuable history of the organization. The City Clerk Department coordinates the Records Management Program in cooperation with designated department liaisons. The City Clerk is also responsible for preserving the City's legislative history.

III. Program Objectives

A. *What are "records"*

Records include, but are not limited to, letters, papers, maps, exhibits, magnetic tapes, compact-disks, microfilm, photographic film and prints, audio and video recordings, and any other information, regardless of its physical form or characteristics, that is received, created or used by a City department or official in the normal course of City business.

B. *Records Retention Schedule*

The Records Retention Schedule provides the foundation for the Records Management Program and plays a pivotal role in its implementation. The City Clerk maintains retention schedules for each department of the City and updates these schedules on a periodic basis. These department schedules establish mandatory minimum retention periods for all City records. If a federal or state law, court ruling, or regulation establishes the retention period for a record, a citation to the relevant provision is given; if no citation is present, authority for the retention period is based on departmental, legal, and management recommendations. No department,

division, board, or commission may dispose of an official City record prior to the expiration of its approved retention period.

Actual disposal of such records by a City office is subject to the policies and procedures outlined in the records management manual.

1. General Records Retention Schedule

The general records retention schedule sets mandatory minimum retention periods for those record series that are common to all departments and divisions.

The retention period applies to a record regardless of the medium in which it is maintained. Some records listed in the Retention Schedule are maintained electronically. To ensure access to these records in the future, data used to create the records must be retained, along with all hardware and software necessary to access that data, for the full retention period assigned to the records. The only exception to this rule is where copies of the data are retained in paper or on microfilm and designated as the “record copy” for retention purposes. The electronic version then becomes a convenience copy and may be disposed of when no longer needed.

2. Department Retention Schedules

The department retention schedules cover specific records maintained relative to the functions performed by that department. The schedules set the mandatory minimum retention periods for the record copy of these documents. Convenience copies of these records found in other departments have administrative value only, and should not be kept longer than the official record copy maintained by the designated department of record.

3. Disposition Dates

Unless otherwise stated, the retention period for a record is in calendar years from the date of its creation. The retention period applies to the official record as distinct from convenience or working copies created for informational purposes. Where several copies are maintained, the office shown as the department of record shall retain the official record. Duplicate or convenience copies are kept only as long as administratively valuable and should not be kept longer than the official record.

If a record described in a schedule is maintained in a bound volume of a type in which pages are not easily removed, the retention period, unless otherwise stated, is calculated based on the date of last entry.

If two or more records listed in this schedule are maintained together by a department and are not severable, the combined record must be retained for the length of time of the component with the longest retention period.

4. Retention Event Codes

Event codes are used to clarify retention periods where disposition is based on a controlling event rather than a period of time. For example, the final disposition date of an employee's personnel file is determined by their individual termination or retirement date. These types of retention periods are noted on the retention schedules by an asterisk (*) and referred to in a note in the Records Series description field that explains how to determine the disposition date. Certain records listed in the schedules may be assigned the retention period of AV (as long as administratively valuable). This retention period is more discretionary and affords departments flexibility in determining how long a record is needed. Administrative Value (AV) means that the record has no fiscal or legal value to the City, and the record may be destroyed when no longer referenced. Although "AV" may be used as a retention period on a department retention schedule, it is in the best interest of any records management program that fixed retention periods be determined based on actual usage for each official records series. "AV" records tend to accumulate and go unmanaged.

C. *Final Disposition*

Disposition is the final phase in the information life cycle and normally involves two possibilities: destruction or transfer to a records facility for permanent preservation. On some occasions, disposition may also involve transfer of records to a state or federal agency or a local historical society or university for historical reference. The final disposition of a records series is noted on the Records Retention Schedule.

NOTE: It is the department's responsibility to obtain proper authorization prior to proceeding with disposition, i.e., having an approved Records Retention Schedule. Records Management staff cannot provide verbal approval for the disposition of records not inventoried and included on the approved Records Retention Schedules.

Disposition of records should occur routinely in accordance with the provisions of the Records Retention Schedule. If the Schedule states that certain records are to be retained for three years and then destroyed, records review and disposal should occur promptly at the conclusion of the three year retention. This ensures that file space is used efficiently and prevents active records needed for day-to-day operations from becoming interfiled with records that have outlived their administrative usefulness.

Exception for litigation and records subject to audit: If a request for information has been filed encompassing the records under the Public Records Act, the records are involved in current or pending litigation, or are subject to an audit, physical destruction may **NOT** be carried out until all legal action has concluded. The City Attorney's Office will instruct departments to preserve documents as they relate to pending PRA and litigation cases.

When records maintained in-office become eligible for destruction, contact the Department Records Coordinator prior to any destruction to ensure that proper documentation is completed. While the approved Records Retention Schedule indicates when a record is eligible for destruction, a Destruction Authorization Memo must be completed and sent to the Records Management unit to ensure no outstanding legal or fiscal issues require maintaining the records for an extended period. A Department Destruction Log and file index including the record series, file names/numbers/titles, dates of records, date destroyed, and who destroyed them should also be created. See the Records Management Manual for additional details. Once the destruction is approved, it is appropriate to place the material in the recycling containers unless they require confidential shredding.

D. Off-Site Records Center

The City Clerk Department stores City records in an off-site records center maintained specifically for high-density storage of inactive and permanent records. When records have completed their active office life, and the Retention Schedule indicates storage, the records should be packed in approved storage boxes, inventoried on a Records Transfer List, and sent to the Records Unit for transfer to off-site storage for the remainder of this retention period.

Contact your Department Records Coordinator or Records Management staff in the City Clerk Department for complete instructions on how to prepare and transfer files, including procurement of boxes and transmittal forms.

All inactive City records must be stored within either the City Clerk's offsite Records Center or by an approved commercial storage vendor. Closets, basements, attics, vacant office space, and self-service storage facilities may not be used for record storage.

E. Vital Records Protection

Vital Records are defined as those essential department records needed to meet operational responsibilities under national or regional emergency or disaster conditions. (For Vital Statistic Records, i.e., birth and death certificates, see the Health & Human Services Retention Schedule.)

Disaster means an unexpected occurrence inflicting *widespread* destruction and distress, having *long-term* adverse effects on operations, e.g., the 1989 Loma Prieta earthquake and the 1991 Berkeley-Oakland Hills firestorm.

Emergency means a situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally of short duration, for example, an interruption of normal City operations for a week or less due to an electrical transformer failure or minor flooding caused by broken pipes.

Vital records are divided into two categories:

1. Emergency operating records are those vital records essential to the continued functioning or reconstitution of the organization during and after an emergency. Examples include emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical City operations, as well as related policy or procedural records that assist City staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.
2. Legal and financial rights records are those vital records which are essential to the protection of the legal and financial rights of the City and of the individuals directly affected by its activities. Examples of these records include records containing proof of ownership, financial interest (social security, payroll, retirement, insurance, accounts receivable), legal proceeding decisions, contractual obligations, and similar records.

Policy. All departments and offices will work with the Office of Emergency Services and Records Management staff to identify and safeguard those emergency operating, legal and financial rights records necessary for their own essential emergency and recovery functions. Vital records are noted on the Records Retention Schedule.

F. Archival Preservation

Records identified as **permanent** or historically significant on the Records Retention Schedule, require special handling and preservation techniques to ensure continued accessibility for reference and research. The City Clerk Department regularly evaluates the volume and types of records in this category and makes recommendations for archival storage media, as well as practices and procedures that need to be followed to ensure access to these materials in perpetuity.

IV. Responsibilities

A. Departments

Each department shall:

1. Appoint a Records Coordinator to work with Records Management staff in implementing the Records Management Program. This should be someone who is familiar with the nature and purpose of department records, has some authority to ensure adherence to records policies and procedures, and can recommend retention periods based on actual usage and legal requirements.
2. Assist Records Management staff in conducting and maintaining an inventory of all records created and maintained within the department.

3. Review their Retention Schedule bi-annually, submitting to the City Clerk any suggested revisions to retention periods, and additions or deletions of record series as department functions change.
4. At regular intervals but no less often than once per year, transfer inactive department records to the Records Center in accordance with established procedures and using the Retention Schedule as a guide.
5. Review destruction authorizations for stored records prepared by the Records Management Staff. Records Coordinators and Department Directors should review the list of records eligible for destruction to ensure that none of the records are the subject of an audit or pending litigation.
6. Educate other department staff in proper recordkeeping policies and procedures.

B. City Clerk – Records Management Unit

The City Clerk, as director and administrator of the Records Management Program, shall:

1. Direct the preparation of a citywide records inventory of all departments.
2. Prepare and maintain a Records Retention Schedule based on the findings of the records inventory and discussions with City staff.
3. Assist department Records Coordinators in reviewing and updating department Records Retention Schedules on a periodic basis. Revise policy and procedures as necessary to ensure interdepartmental coordination and cooperation in the creation, maintenance, protection, retention, and disposition of all City records.
4. Approve Retention Schedule and policy revisions that affect transfer of records to the off-site records center.
5. Provide off-site records center storage containers and identification procedures for each box submitted for storage.
6. Submit Records Destruction Authorization Memos to each Department Director for approval to destroy records stored in the off-site records center. Carry out such destruction in accordance with established procedures.
7. Maintain accurate logs and databases of all records stored in the off-site records center. Keep records secure, and provide access to information to researchers upon request.
8. Maintain documentation of all records destroyed in accordance with the Records Retention Schedule, including those records destroyed directly by departments.
9. Educate City staff on principles of records management and industry best practices through regular training meetings for department liaisons. Provide guidance, consultation, and advice as needed.

C. *City Attorney*

The City Attorney shall review the Records Retention Schedule and all proposed amendments to assure compliance with local, state, and federal legal requirements. The City Attorney shall also review and approve all Records Destruction Authorization Memos to ensure that listed records are not the subject of current or pending litigation.

D. *City Council*

The City Council shall provide final authority for amendments to the Records Retention Schedule.

V. *Records Management Manuals*

An updated City Records Retention Manual and Records Transfer Procedures Manual will be issued detailing specific procedures to be followed by all departments concerning records management policies and practices.

VI. Glossary

TERM	DEFINITION
Active Records	Current records needed to carry out a department's day-to-day business; records subject to frequent use (at least once per month).
Archival Preservation	The preservation and continued survival of permanent records (or at least of the information they contain). Basic approaches to preservation include providing a climate controlled storage environment, selective copying, microfilming, and conservation and restoration work on particularly important items.
Case File	One or more recurring official files relating to a specific function, activity, person, organization, location, or project. Examples: contracts, projects, investigations, and personnel files.
Electronic Record	A record created, generated, sent, communicated, received, or stored by electronic means. Electronic record generally refers to data that requires both hardware <u>and</u> software to read, making it more complex than other machine-readable records.
File Code	A series of alpha and/or numeric characters assigned to a record to identify its file classification in a concise manner. Also called series code.
Records Center	A facility for storage and servicing of inactive records pending disposal or permanent retention.
Imaging	Technology that involves digital creation or capture of a picture of a document rather than merely capturing its text; terminology may include "imaging system" as well as optical disk and scanning technology.
Inactive Records	Records used less than once a month yet which must still be retained to meet legal, fiscal, or historical requirements. These records may be transferred from the office work area to off-site storage until disposal is appropriate.
Media	Various physical recording materials such as paper, film, tape, or disk. (See Official Record.)
Non-Records	Material is considered a non-record when it is of short-term interest with no documentary or evidentiary value to the organization. Examples include: stocks of publications, reference material, catalogs, duplicate copies of official records, informal notes, telephone messages, and routing slips.
Office Clean-up	The regular, routine practice of reviewing records and other office material for the purpose of eliminating unneeded, outdated material. Records are reviewed for storage or purging according to established retention periods during this annual clean-up process.
Office of Record	The City department that, by definition of its mission or function, has legal responsibility for an official record.
Official Record	An official record, also called a record or official file, has informational or evidentiary value. It is <u>not</u> defined by physical form. It is created or received in connection with the transaction of City business and is preserved as evidence of its organization, functions, policies, decisions, procedures, operations, and other activities. Data may be recorded in various ways and on various media (for example, paper, cd, microfilm, and so forth).
Off-Site Storage	An approved depository for inactive records.

TERM	DEFINITION
Permanent Record	Any record that has been determined to have sufficient historical or other value to warrant its continued preservation by the City.
Personal Papers	Records of a private or unofficial character that pertain only to an employee's personal affairs and which are kept in the individual's office space. Personal papers must be clearly marked by the employee as such and must at all times be filed separately from official department records. Questions about the separation of personal papers from official documents should be directed to Records Management staff in the City Clerk Department.
Reading File	An unofficial, working file of <u>copies</u> of official records in chronological order; used for quick reference.
Record	See Official Record.
Records Management	The systematic planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, maintenance, use, and disposition.
Records Series	A group of different records filed together in a unified arrangement that results from, or relates to, the same function or activity and permits evaluation as a unit, e.g., personnel files.
Reference File	An organized collection of material accumulated and used strictly for convenience. Reference files are normally unofficial records.
Retention	The practice of keeping a record or records series for a period prescribed by law, regulation, or executive decision.
Retention Schedule	A comprehensive list of records series indicating for each series the length of time it is to be maintained in office areas and in storage, and when, and if, such series may be destroyed. A retention schedule summarizes the results of the appraisal of records and makes possible an orderly, efficient retention and disposition of such records.
Subject File	Documents filed by subject matter rather than alphabetically by title or chronologically by date.
Transitory File	Unofficial papers of short-term interest, which have no informational or evidentiary value. Examples include publications, letters of transmittal that add no additional information, and quasi-official notices of events such as holidays or charity fund appeals.
Unscheduled Record	Any record that has not been appraised by Records Management staff of the City Clerk Department. A record that has neither been approved for disposal nor designated as permanent on an approved Records Retention Schedule.

TERM	DEFINITION
Vital Records	<p>Essential department records needed to meet operational responsibilities under emergencies or disaster conditions, or to protect the legal and financial rights of the City and those affected by City activities. Records that contain information essential to re-establish or continue operations in the event of a disaster. Also, those records necessary to preserve the rights and assets of the City, its employees, and its customers. Vital records are stored off-site and/or duplicated due to their importance.</p> <p>Legal and financial rights records are those essential to protect the legal and financial rights of the City and of the individuals directly affected by its activities. Examples include accounts receivable, payroll, retirement, and insurance.</p> <p>Emergency operating records are those essential to continued functioning or reconstitution of City organization during and after an emergency or disaster. Included are emergency plans and directives, delegations of authority, staffing assignments, selected program records needed to continue critical agency operations, and related policy or procedural records that assist staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.</p>
Working File	<p>Unofficial documents retained at the discretion of the individual employee; portions of working files may become official records.</p>

VII. Abbreviations

Event Code Abbreviations Used in the Retention Schedules:		
AA	After Audit	Retain until an audit of the records has been completed.
ACT	Active	Retain as long as files are open and in active use.
AE	After Expiration	Retain until the agreement created by the record expires, e.g., contracts, leases, agreements
AS	After Settlement	Retain until the issue addressed by the records has been resolved and settled, e.g., lawsuit, complaint, investigation.
AT	After Termination	Retain records as long as active, e.g., personnel files.
AV	Administrative Value Only	Retain as long as needed for administrative use; there is no legal, fiscal, or historical retention value for this record.
CL	Close/Completion	Retain until project or activity is completed or file is closed.
CYE	Current Year End	Retain all interim records until the end of the current calendar year; purge only on an annual basis.
EL	Election	Retain based on the date of an election.
FYE	Fiscal Year End	Retain all interim records until the end of the current fiscal year; purge only on an annual basis. CoB fiscal year is currently July 1 st thru June 30 th .
PERM	Permanent	Retain records “forever”; special archival preservation of the record is required to ensure accessibility and legibility.
US	Until Superseded	Retain record until replaced by an updated or revised version.
Statutory Citation Abbreviation Codes Used in the Retention Schedules		
B&P	Business and Professions	
CAC	California Administrative Code	
CA Opinion	Written Opinion by the City Attorney	
CCP	Code of Civil Procedure	
CEQA	California Environmental Quality Act	
CFC	California Fire Code	
CFR	Code of Federal Regulations	
EC	Election Code	
FEMA	Federal Emergency Management Agency	
FMLA	Family & Medical Leave Act of 1993	
GC	Government Code	
H&S	Health & Safety Code	
HUD	Housing and Urban Development	
OSHA	Occupational Safety & Health Act	
PC	Penal Code	
POST	Police Officers Standard Training	
USC	United States Code	
WIC	Welfare & Institutions Code	



City of Berkeley
 Records Management Program
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 Berkeley, CA 94704

RECORDS RETENTION SCHEDULE – GENERAL

CITY ATTORNEY	CITY CLERK
/s/	/s/
Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
GRS100	ADMINISTRATION				
GRS101	ACCIDENT/INCIDENT REPORTS Reports of accidents to persons on City property or in any other situation in which the City could be a party to a lawsuit	5	None	5	GC 34090
GRS102	AUTO ALLOWANCE	2	None	2	GC 34090
GRS103	BUDGET DOCUMENTATION - DEPARTMENT WORK PAPERS Records used exclusively for the preparation of budgets, including budget requests, justification statements, and similar documents	FYE+2	None	FYE+2	GC 34090
GRS104	BUDGET DOCUMENTATION Fund encumbrance and expenditure reports. Status report showing expenditures and encumbrances against a budget, i.e., Budget Performance Report	FYE+2	None	FYE+2	GC 34090
GRS105	CERTIFICATES AND LICENSES Certificates, licenses, or permits required for employees to qualify for or remain eligible to hold a position requiring certification or licensing *Retention Note: Unless specified otherwise on a specific department schedule	*US+5	None	*US+5	GC 34090
GRS106	CITIZEN COMPLAINTS/INQUIRY Complaints received from the public by a governing body or any officer or employee relating to City policy Retention Note: 2-year retention applies to complaints of a general nature that do not fall into another complaint category noted in this or another schedule	AS+2	None	AS+2	GC 34090

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
GRS107	DEPARTMENT COPY OF CONTRACTS, LEASES, MOU'S, AND AGREEMENTS Includes contracts for services, equipment, supplies, etc. (<u>Department Copy</u> – Vital Record is filed with City Clerk; see CLK601a, b, & c)	AV	None	AV	Dept. Policy
GRS109	CORRESPONDENCE AND INTERNAL MEMORANDA - POLICY AND PROGRAM DEVELOPMENT Records pertaining to the formulation, research, planning, modification, implementation, or redefinition of City policies, programs, services, or projects *Retention Note: Review carefully; some records may merit permanent retention for historical reasons	US+5	None	*US+5	Dept. Policy
GRS110	CORRESPONDENCE AND INTERNAL MEMORANDA - ADMINISTRATIVE Documents pertaining to or arising from routine administration or operation of City policies, programs, services, and projects (includes both incoming and outgoing documents)	CYE+2	None	CYE+2	Dept. Policy
GRS112	CORRESPONDENCE AND INTERNAL MEMORANDA - CHRONOLOGICAL FILES (A.K.A. "CHRON" OR "CHRONO" FILES) Copies of correspondence and/or reports arranged in chronological order (by date issued) for quick reference	AV	None	MAX=5	Dept. Policy
GRS113	FINANCIAL REPORTS - PERIODIC Monthly, bimonthly, quarterly, or semi-annual financial reporting on accounts, funds, or projects of the City created either for internal use or submission to State agencies, except specific reports of similar types noted in this or other schedules	FYE+2	None	FYE+2	GC 34090
GRS114	GOALS AND OBJECTIVES Department performance measures, goals, and objectives	CYE+2	None	CYE+2	GC 34090
GRS115	MINUTES (STAFF) Minutes of internal staff meetings	AV	None	MAX=2	Dept. Policy
GRS116	NEWS RELEASES, NEWSLETTERS, AND PRESS RELEASES *Retention Note: Review carefully; some records may merit permanent retention for historical reasons	CYE+2	None	*CYE+2	Dept. Policy
GRS117	ORGANIZATIONAL CHARTS See Bi-Annual Budget for official organization charts	US	None	US	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
GRS118	<p>HISTORICAL INFORMATION - PHOTOGRAPHS, RECORDINGS, AND NON-TEXTUAL MEDIA Photographs, scrapbooks, slides, sound recordings, videotapes, posters, and other non-textual media that document the history and activities of the City or any of its departments, programs, or projects except such records noted elsewhere in this or other schedules</p> <p>*Retention Note: Most media of this type must be retained for historical reasons, but latitude is allowed for record-keepers in determining to what extent an item documents the history and activities of the City. If it is determined that it does not, it need be kept only as long as administratively valuable</p>	*PERM	None	*PERM	Dept. Policy
GRS119	<p>POLICY AND PROCEDURE DOCUMENTATION Executive orders, directives, manuals, and similar documents that establish and define the policies, procedures, rules, and regulations governing the operations or activities of the City as a whole or any of its departments, programs, services, or projects</p> <p>*Retention Note: One copy retained permanently by issuing department for historical reference</p>	*US+5	None	*US+5	Dept. Policy
GRS120	<p>PUBLICATIONS - PROMOTIONAL AND MARKETING MATERIALS Pamphlets, reports, studies, proposals, and similar material printed by or for the City or any department, division, or program and distributed, or intended for distribution on request to City staff or to the public</p> <p>Retention Note: Retain one copy permanently for historical reference</p>	CYE+7	None	CYE+7	Dept. Policy
GRS121	<p>PURCHASING RECORDS Departmental requisitions, purchase orders, requests for encumbrance (FN-024), warehouse requisitions</p>	FYE+2	None	FYE+2	GC 34090 29 CFR516.6(b)
GRS122	<p>INCOMING PAYMENTS *Retention Note: Length of time kept is dependent on requirement of the receipt</p>	AV	None	*AV	Dept. Policy
GRS123	<p>PUBLIC RECORDS REQUESTS Department and public requests for records. Includes original request, correspondence and other documentation relating to the request, complex research compilations prepared for administrative requests, audits and litigation support, and public record requests</p>	CL+2	None	CL+2	GC 34090

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
GRS125	REPORTS AND STUDIES (NON-FISCAL) - ANNUAL REPORTS Reports, performance audits, or planning studies submitted to the Council, City Manager, Mayor, or State agency, on the performance of a department, program, or project, or for planning purposes. Includes those prepared by consultants under contract with the City	PERM	None	PERM	Dept. Policy
GRS127	REPORTS AND STUDIES (NON-FISCAL) Special reports or studies prepared by order or request of the City Manager, routine monthly, bimonthly, quarterly or semi-annual reports	CYE+2	None	CYE+2	GC 34090
GRS130	TRAVEL RECORDS	CYE+2	None	CYE+2	GC 34090
CM403	CASH REGISTER TAPES	6 months	4 1/2	5	Dept. Policy
CM402	CASH TELLER SHEETS Cash edit listings, deposit slip copies and credit card slips	6 months	4 1/2	5	Dept. Policy
GRS200	BOARDS AND COMMISSIONS				
GRS201	AGENDAS - BOARDS AND COMMISSIONS Published meeting agendas and/or notices	CYE+3	5	CYE+8	GC 34090
GRS202	AGENDAS - BOARDS AND COMMISSIONS AGENDA PACKETS AND SUPPORTING DOCUMENTATION Retain one copy of each document submitted to a meeting of a governing body for consideration, approval, or action, if such action is reflected in minutes of the meeting. Includes appeals	CYE+3	5	CYE+8	GC 34090
GRS204	MINUTES - BOARDS AND COMMISSIONS Official written minutes	1	PERM	PERM	Dept. Policy
GRS205	MEETING RECORDINGS - BOARDS AND COMMISSIONS Audio and/or video tapes of meetings for which written minutes are prepared. Includes ZAB, FCPC, quasi-judicial, etc. *Retention Note: Recycle tapes 90 days after minutes are approved unless maintained for public reference	*90 days	None	*90 days	Dept. Policy
GRS206	COMMISSIONER ATTENDANCE RECORDS	10	None	10	GC 34090
GRS300	GRANTS				

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
GRS301	<p>GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS Successful grant applications and proposals, and any documentation that modifies the terms of a grant. Reports, planning memoranda, studies, correspondence, and similar records created for and used in the development of successful grant proposals. Financial, performance, and compliance reports submitted to grantor or sub-grantor agencies *Retention Note: Unless the grant requires a longer retention period</p>	CL+5	None	*CL+5	GC 34090
GRS302	<p>GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS Records relating to unsuccessful grant proposals</p>	CYE+2	None	CYE+2	GC 34090
GRS400	PERSONNEL AND PAYROLL				
GRS402	<p>EMPLOYEE TIME SHEETS/CARDS - DEPARTMENT COPIES Includes application for leave of absence – leave requests. Retain for grant fund audit and FEMA reports</p>	AA+2	AA+4	AA+6	GC 34090, 29CFR516.2, 26CFR31.6001(e)(2)
GRS403	<p>EMPLOYEE PERSONNEL FILES Department copy of personnel documents, including performance evaluations and goals. Human Resources retains official record copy of all personnel records</p>	AT+2	None	AT+2	GC 34090, GC 06250
GRS404	<p>EMPLOYEE SECURITY RECORDS - IDENTIFICATION AND ACCESS Records created to control and monitor the issuance of keys, ID cards, passes, or similar instruments of identification and access to controlled spaces</p>	AE+2	None	AE+2	GC 34090
GRS405	<p>EMPLOYEE SECURITY RECORDS - PARKING Records relating to issuance of parking permits</p>	US	None	US	GC 34090
GRS406	PAYROLL REPORTS AND RELATED RECORDS	FYE+2	None	FYE+2	GC 34090

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 Records Management Program
 2180 Milvia Street
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RECORDS RETENTION SCHEDULE – CITY ATTORNEY

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/ Farimah Brown	/s/ Jerome Mayer-Cantu	/s/ Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
ATTY100					
ATTY101	CLAIM FILES Denied, denied late, paid claims	CL+1	2	CL+3	Dept. Policy
ATTY102	FAIR CAMPAIGN PRACTICES COMMISSION (FCPC) Investigations of committees subject to the Berkeley Election Reform Act of 1974	CL	4	CL+4	Dept. Policy
ATTY104	LITIGATION CASE FILES Retention Note: Significant cases, which have importance or set legal precedence, should be kept permanently for historical reference	AS	10	AS+10	42 USC s1983, GC 6254
ATTY105	ADVICE (LEGAL OPINIONS) Copies of all opinions issued by the City Attorney's office	PERM	None	PERM	GC 34090, GC 6254
ATTY106	OPEN GOVERNMENT COMMISSION (OGC) Complaints of violations of the Open Government Ordinance and investigations of complaints	CL	4	CL+4	Dept. Policy

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RECORDS RETENTION SCHEDULE – CITY AUDITOR

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
Ann-Marie Hogan	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
AUD100	ADMINISTRATION - PERFORMANCE AUDIT				
AUD101	AUDIT REPORTS - GENERAL AUDIT DIVISION Internal and external audits	PERM	None	PERM	Dept. Policy
AUD102	PERFORMANCE AUDIT - WORK PAPERS	5	None	5	Dept. Policy
AUD103	BUSINESS LICENSE TAX AUDIT - WORK PAPERS Accounts receivable, audit work papers, correspondence, status reports, etc.	5	None	5	GC 34090 is 2 yrs., Dept. Policy is 5 yrs.
AUD104	BUSINESS LICENSE TAX AUDIT Annual report	PERM	None	PERM	Dept. Policy
AUD105	CONTRACT REGISTER	PERM	None	PERM	Dept. Policy
AUD200	PAYROLL				
AUD201	AUTHORIZATION - SIGNATURE Auto allowance, fleet cars users, delegated payment holder, commission declaration, and authorized signatures for payroll purposes	1	2	3	Dept. Policy
AUD202	EMPLOYEE BENEFITS - CASH-IN-LIEU Declarations, payments, and other documents related to cash-in-lieu	1	5	6	Dept. Policy
AUD203	EMPLOYEE BENEFITS - HEALTH INSURANCE Kaiser, COBRA, dental, life, and other related health benefit payment records, open enrollment and dental changes	1	5	6	Dept. Policy
AUD204	EMPLOYEE BENEFITS - PERS Public Employees' Retirement System (PERS) membership application, retirement application, PERS option, PERS contribution records, and other related documents Retention Note: PERS reports prior to 1995, keep to 2040	5	40	45	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
AUD205	PAYROLL CERTIFICATION Payroll summary for each pay period that is prepared and certified by the Auditor	2	5	7	S-X Section 802
AUD206	DEDUCTION AUTHORIZATIONS Auto charges, combined charities, credit union, deferred compensation, dependent care, fleet cars, garnishment, levies, court orders, Glock gun loans, optional disability, SRIP, union dues, and other related documents Retention Note: Retain 5 years after separation, amendment, expiration, or termination of authorization, whichever is sooner	Paper: CL+2 Electronic: CL+5	3 None	CL+5 CL+5	Dept. Policy
AUD207	PAYROLL RECORDS - CHECK REGISTER Register records, payroll check number, amount by employee's name and cost center	8	None	8	CA Admin. Code, 22CCR Sec. 1085-2(c) is 4 yrs.; addl. 6 yrs. by Dept. Policy
AUD208	PAYROLL RECORDS - EARNING HISTORY Earning records, year-end statement, year-end edit Retention Note: Earning history prior to 1995, keep to 2040	5	25	30	Dept. Policy
AUD209	PAYROLL RECORDS - EMPLOYEE TRANSACTION (PN004)	2	None	2	Dept. Policy
AUD210	PAYROLL RECORDS - GROSS PAY ADJUSTMENT Payroll adjustment documents	Paper: 2 Electronic: 5	3 None	5 5	Dept. Policy
AUD211	PAYROLL RECORDS - LEAVE ADJUSTMENTS Administrative leave, compensatory time, sick leave, and vacation leave adjustments	2	3	5	Dept. Policy
AUD212	PAYROLL RECORDS - MANUAL ISSUES AND VOIDS Document and worksheet for manual check issues and voids	2	3	5	Dept. Policy
AUD213	PAYROLL RECORDS - PAYROLL DISTRIBUTION FN-009, used to allocate employee pay to the appropriate budget	FYE+2	None	FYE+2	Dept. Policy
AUD214	PAYROLL RECORDS - PAYROLL TAX Federal income tax returns, State income tax, SDI and unemployment insurance tax returns, IRS and State EDD correspondence	3	5	8	CA Admin Code, 22CCR Sec. 1085-2(c) is 4 yrs.; addl. 4 yrs. by Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
AUD215	PAYROLL RECORDS - PENSION PAYROLL Pension earning history and other pension payroll related records Retention Note: Pension payroll prior to 1995, keep to 2035	5	35	40	Dept. Policy
AUD216	PAYROLL RECORDS - STATE DISABILITY INSURANCE SDI claim, leave coordination, and calculation records	3	2	5	Dept. Policy
AUD217	PAYROLL RECORDS - TIME CARDS Individual employees' time for each pay period	6 months	8	8 1/2	CA Admin. Code, 22CCR Sec. 1085-2(c) is 4 yrs.; addl. 6 yrs. is Dept. Policy
AUD218	PAYROLL RECORDS - WORKERS COMPENSATION Workers compensation calculations and other related records such as injury reports, ABAG vouchers, index cards with lost time data, etc.	5	15	20	CA Admin. Code, 22CCR Sec. 1085-2(c) is 4 yrs; addl. 6yrs. Dept. Policy
AUD219	PAYROLL RECORDS - W-2, W-2C, AND W-2P FORMS Wage and tax statements for individuals and pensioners	40	None	40	Dept. Policy
AUD220	PAYROLL RECORDS - W-4 Employees' withholding allowance certificate	2	3	5	Dept. Policy
AUD230	MEDICAL LEAVE RECORDS May include family leave, certifications, tests, W-4 forms (added from State schedule)	5	5	10	FMLA-1993, US OSHA, 29CFR1602.30-32

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RECORDS RETENTION SCHEDULE – CITY CLERK

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
Mark Numainville	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK100	ADMINISTRATIVE FILES				
CLK101	DOMESTIC PARTNERSHIP AFFIDAVITS Affidavits of Domestic Partnership and Statements of Termination of Domestic Partnership filed with the City Clerk	PERM	None	PERM	Dept. Policy
CLK104	CERTIFICATE OF APPOINTMENT OF DEPUTY AND OATH OF OFFICE	PERM	None	PERM	Dept. Policy, GC40813
CLK105	OATH OF OFFICE FOR APPOINTED CITY STAFF SECRETARY OF STATE AUTHORIZATION	PERM	None	PERM	Dept. Policy
CLK200	BOARDS, COMMISSIONS, COMMITTEES				
CLK201	COMMISSION ADMINISTRATION FILES Chair and vice-chair elections, attendance reports; general communications sent to all secretaries	1	7	8	Dept. Policy
CLK202	COMMISSIONERS' MANUAL Manuals are adopted by Council resolution. Retain one copy permanently for historical reference as part of the resolution file (CLK706)	US	None	US	Dept. Policy
CLK203	INDIVIDUAL COMMISSIONER FILES Contains original applications for appointment, oath of office, and correspondence related to appointment, service, and termination	AT+5	None	AT+5	Dept. Policy
CLK204	MEMBERSHIP ROSTERS Historical data relating to commission appointments and termination information	CYE	PERM	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK300	BOND FILES, DEEDS, FRANCHISES,				
CLK302	DEEDS Original deeds to City-owned property	-	PERM	PERM	Dept. Policy
CLK303	FRANCHISE AGREEMENTS Original agreements authorizing franchises and related ordinances not in contract form	PERM	None	PERM	Dept. Policy
CLK305	SPECIAL TAX DISTRICT PROPERTY DOCUMENTS Includes unanimous approval, Information Verification Form, program terms, Notice of Special Tax Lien, installer invoice, CSI rebate reservation	-	Until CL	CL	Dept. Policy
CLK400	CHARTER				
CLK401a	ORIGINAL CHARTER AND AMENDMENTS Chapter designations by the Secretary of State; see Elections	PERM	None	PERM	GC 34090, GC 34458 - GC 34460, Dept. Policy
CLK401b	OUTDATED CHARTERS	PERM	None	PERM	Dept. Policy
CLK500	CONFLICT OF INTEREST - ECONOMIC INTEREST STATEMENTS				
CLK501	CANDIDATES FOR ELECTIVE OFFICE - FORM 700 - MAYOR AND COUNCIL Prior to election, candidates' conflict of interest statements are filed with candidates' election forms (see Elections). Once elected, forms are filed separately from the official election files Retention Note: Originals are filed with the FPPC, copies retained in office	3	1	4	GC 81009 (f)
CLK502	CANDIDATES FOR ELECTIVE OFFICE - FORM 700 - AUDITOR, SCHOOL BOARD, AND RENT BOARD Prior to election, candidates' conflict of interest statements are filed with candidates' election forms (see Elections). Once elected, forms are filed separately from the official election files Retention Note: School Board Only-originals are filed with County Clerk of Board of Supervisors, copies retained in office	3	4	7	GC 81009 (e)
CLK503	EMPLOYEES, CONSULTANTS, BOARDS AND COMMISSION MEMBERS - FORM 700 Applies to all those commissions and job classifications designated in the City's Conflict of Interest Code. Includes designated employees, consultants, board, committee, and commission members, Rent Board, and Auditor	3	4	7	GC 81009 (e)

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK504	MAYOR, COUNCIL, CITY MANAGER, CITY ATTORNEY, FINANCE DIRECTOR, PLANNING COMMISSIONERS, ZONING ADJUSTMENTS BOARD MEMBERS - FORM 700 Retention Note: Originals are filed with the FPPC, copies retained in office	3	1	4	GC 81009 (f)
CLK505	CONFLICT OF INTEREST ADMINISTRATION FILES Annual statement processing, code updates, master FPPC forms, and reference files Retention Note: Council resolution adopts conflict code, and one copy is retained permanently in resolution files (CLK706)	3	4	7	Dept. Policy
CLK600	CONTRACTS				
CLK601a	VITAL RECORDS CONTRACTS AND AMENDMENTS (PERMANENT) Includes contracts in which contractor is a health care provider or health clinic, development of real property including engineering consult and design, subdivision agreements and development agreements approved by Ordinance, agreements granting easements, loan agreements	1	PERM	PERM	CA Opinion 7/10/91, GC 65864, GC 65869.5
CLK601b	VITAL RECORDS CONTRACTS (AT+5) Includes contracts for services, equipment, supplies, contracts with county, state, or federal government funding sources	1	4	AT+5	CA Opinion 7/10/91
CLK601c	VITAL RECORDS CONTRACTS AND AMENDMENTS FOR PROPERTY LEASES, SALES AND PURCHASES Contracts for the lease, sale, or purchase of real property. Includes agreements from November 2018 forward	1	PERM	PERM	CA Opinion 7/10/91, Dept. Policy
CLK700	CITY COUNCIL AND OTHER LEGISLATIVE BODIES COMPRISED OF THE FULL CITY COUNCIL				
CLK701	COUNCIL MEETING MINUTES				
CLK701a	OFFICIAL WRITTEN MINUTES	1	PERM	PERM	GC 34090
CLK701b	DVD	2	PERM	PERM	GC 34090
CLK702	MINUTES - CLOSED SESSIONS Confidential closed session minutes per BMC 2.04.025	PERM	None	PERM	GC 34090
CLK703	MINUTE FILES - AGENDA PACKETS Agenda items and background materials, including Council reports, follow-up correspondence, communications to Council, and land use appeal records	1	PERM	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK705	ORDINANCES				
CLK705a	ORIGINAL ORDINANCE FILES		PERM	PERM	Dept. Policy
CLK705b	BOUND ORDINANCE BOOKS		PERM	PERM	Dept. Policy
CLK706	RESOLUTIONS	3	PERM	PERM	GC 34090
CLK800	ELECTIONS				
CLK801	BALLOTS Voted, contested, surrendered absentee (unused) ballots, polling place and absentee, spoiled and cancelled ballots - destroy 6 months after day of election Retention Note: If election is contested [EC-17302(C)] retention is by court order Retention Note: For non-consolidated City elections	1 month	5 months	EL+6 months	EC 15551, EC 17302
CLK802	BALLOTS - UNUSED Ballots submitted to precincts/City Clerk that were not used; defacement and destruction may be done right after polls closed, or sealed and destroyed after 10 days Retention Note: For non-consolidated City elections	10 days	None	10 days	EC 14403, EC 14404, EC 14405
CLK803	CANDIDATE FILING FORMS AND NOMINATION DOCUMENTS Submitted in order to qualify for candidacy; includes nomination paper, ballot designation worksheet, certification of residency, code of fair campaign practices, Form 700, candidate statement of qualifications, consent forms for use of endorser names, copy of Form 501, Rent Board Declaration, etc.	AT+4	None	AT+4	EC 17100, Dept. Policy
CLK804	MASS MAILINGS Copy of campaign mailers sent by an officeholder, candidate, or committee to constituents, mass mailing certification form	EL+4	None	EL+4	FCPC R2.12.045(b), BMC 2.12.045
CLK805	OFFICIAL CHRONOLOGICAL ELECTION FILES Notices and affidavits, ballot measure files - arguments, authorization forms, City Attorney analysis, sample ballot pamphlets, certification documents, oaths of office, correspondence, candidate guide, blank forms, procedures, CD of electronic files	CL+6 months	PERM	PERM	Dept. Policy
CLK806	PETITIONS - CONFIDENTIAL Initiative, referendum, charter amendment, and recall petitions with original signatures				GC 6253.5, EC 17200, EC 17400
CLK806a	PLACED ON BALLOT	EL+8 months	None	EL+8 months	EC 17200
CLK806b	NOT PLACED ON BALLOT	8 months	None	8 months	EC 17200

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK806c	ADMINISTRATIVE FILE	2	None	2	Dept. Policy
CLK807	PRECINCT OFFICIAL MATERIAL Contains precinct officer's declaration of intention, precinct board member applications, orders appointing members of precinct boards, and designating polling places, including notice of appointment of office and record of service Retention Note: For non-consolidated City elections	-	EL+6 months	EL+6 months	EC 17503
CLK808	VOTER ROSTERS AND INDICES Rosters or indices used by precinct officials; the roster may be in the form of an index to the affidavits of registration for that precinct, in which case the index will provide sufficient space for the voters to sign their names Retention Note: For non-consolidated City elections	-	EL+5	EL+5	EC 17300
CLK809	MUNICIPAL ASSESSMENT ELECTIONS Elections affecting real property, i.e., Undergrounding Utility Districts, Fire Assessment, and Lighting. Voted and returned ballots, Notice of Assessment, roster list, engineer's report, process and procedure documentation, outside counsel's Transcript of Proceedings, undeliverable or RTS ballots, City-owned parcel ballots, tabulation documents, and Clerk certification	6 months	18 months	2 years	GC 53753(e)(2)
CLK810	BUSINESS IMPROVEMENT DISTRICT (BID) ASSESSMENT ELECTIONS	EL+1	EL+9	EL+10	Dept. Policy
CLK900	FAIR POLITICAL PRACTICES COMMISSION (FPPC)				
CLK901	CAMPAIGN STATEMENTS FILED BY CANDIDATES FOR MAYOR AND CITY COUNCIL OR COMMITTEES SUPPORTING ANY OFFICEHOLDER OR CANDIDATE Includes all pre-election statements, semi-annual statements, statements of termination, and all public financing filings				
CLK901a	ELECTED CANDIDATES	1	PERM	PERM	GC 81009(b), BMC 2.12.045
CLK901b	NON-ELECTED CANDIDATES	EL+1	EL+4	EL+5	GC 81009(b), BMC 2.12.045

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK902	CAMPAIGN STATEMENTS FILED BY CANDIDATES FOR SCHOOL BOARD, AUDITOR, RENT BOARD, AND BY PROPONENTS/ OPPONENTS OF MEASURES Includes pre-election, semi-annual, termination statements	EL+1	EL+6	EL+7	GC 81009(c)
CLK903	FAIR POLITICAL PRACTICES COMMISSION (FPPC) QUARTERLY REPORTS OF LOBBYIST AND EMPLOYER City copies of reports filed with the State on behalf of the City's Sacramento lobbyist	4	None	4	GC 81009(f), State FPPC
CLK904	FPPC 800 SERIES FORMS Form 801, 802, 803, 804, 805, and 806	7	None	7	GC 81009(e)
CLK905	AB1234 - ETHICS TRAINING Includes certificates and correspondence	5	None	5	GC 53235.2
CLK906	AGENCY REPORT OF PUBLIC OFFICIAL APPOINTMENTS	US+2	None	US+2	GC 34090
CLK910	PUBLIC FINANCING FN024 FORMS	4	None	4	GC 34090; Dept. Policy
CLK1000	MAPS				
CLK1001	OFFICIAL MAP OF COUNCIL DISTRICTS Master map prepared in accordance with boundaries established by City charter; updated through re-districting	PERM	None	PERM	Dept. Policy
CLK1002	OFFICIAL ZONING MAPS	-	PERM	PERM	Dept. Policy
CLK1003	REDISTRICTING Maps, unadopted proposals, census data, correspondence, public outreach materials, public redistricting packet, draft ordinance, all documents related to citizen redistricting commission	CL+6 months	PERM	PERM	Dept. Policy
CLK1100	RECORDS MANAGEMENT				
CLK1101	DEEDS OF GIFT Certificates of gifts to outside agencies of City of Berkeley records	-	PERM	PERM	Dept. Policy
CLK1103	RECORDS DESTRUCTION CERTIFICATE DESTRUCTION DOCUMENTATION Destruction certificates and logs of all records destroyed by the records center	1	PERM	PERM	Dept. Policy
CLK1105	RECORDS RETENTION SCHEDULE The retention schedule is adopted by resolution; the record copy of the retention schedule and all amendments are maintained in the City Clerk resolution files; departments and divisions maintain current edition only	PERM	None	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CLK1200	ARCHIVAL MATERIAL				
CLK1201	MINUTES - CETA, CENTENNIAL COMMITTEE, COMMUNITY AFFAIRS, PRIVATE INDUSTRY COUNCIL	-	PERM	PERM	Dept. Policy
CLK1202	MISCELLANEOUS HISTORICAL RECORDS Includes City seal and incorporation papers, annexation record, cornerstone inventory, Romare Bearden negative (commissioned art)	PERM	None	PERM	Dept. Policy

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RECORDS RETENTION SCHEDULE – CITY MANAGER

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/ Dee Williams-Ridley	/s/ Jerome Mayer-Cantu	/s/ Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CM100	ADMINISTRATION				
	GRANTS				
CM101	Correspondence on all grants, to be destroyed 5 years after completion of grants	CL+5	None	CL+5	GC 34090 is 2 yrs, 5 by Dept. Policy
	DEPARTMENTAL FILES - NEGOTIATIONS - MOU'S				
CM102	Notes, notebooks, correspondence, contracts, and Memorandums of Understanding	5	PERM	PERM	29-USC-sections 211(c), 203(m), 207(g)
	PROJECT FILES - CMO PROJECTS ONLY				
CM103	Retention Note: Review before disposal. Some documents may merit permanent retention for historical reference	5	None	5	GC 34090 is 2 yrs, 5 yrs by Dept. Policy
	CODE ENFORCEMENT CASE FILES				
CM105	Includes notes, citations, Requests for Service, notices, photographs, and correspondences	CL+2	None	CL+2	GC 34090(d)
	ADMINISTRATIVE HEARING USE FILES				
CM106	Includes hearing request, decision, notes, evidence and tapes	2	None	2	GC34090
CM200	ANIMAL CONTROL				
	ANIMAL COMPLAINT RECORDS				
CM201	Citizen's complaints on animals and the shelter's response	3	None	3	Dept. Policy
	BITE REPORT				
CM202	Monthly Bite Report	5	None	5	Dept. Policy
	CITATIONS				
CM203		3	None	3	Dept. Policy
	DAILY LOGS - ANIMAL CONTROL OFFICER				
CM204	Daily log of calls	3	None	3	Dept. Policy
	SPAY AND NEUTER REFUNDS				
CM205		3	None	3	Dept. Policy
	IMPOUND RECORDS				
CM206		3	None	3	Dept. Policy
CM300	BUDGET				

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CM301	BUDGET Proposed, summary and approved budget books. Annual/bi-annual operating budget approved by the City Council, published and distributed by the Budget Office	PERM	None	PERM	GC 34090
CM302	BUDGET MODIFICATION WORKSHEETS Reallocation of line item amounts by departments during budget year	2	3	5	GC 34090
CM500	OFFICE OF ECONOMIC DEVELOPMENT				
CM501	ECONOMIC DEVELOPMENT ADMINISTRATIVE (EDA) Semi-annual report	10	None	10	GC 34090 is 2 yrs, 10 by Dept. Policy
CM502	MEMORANDA FROM MAYOR AND CITY COUNCIL Correspondence - consent, action, and resolutions	2	None	2	GC 34090
CM503	REVOLVING LOAN FUND (RLF) - MONITOR FILES Record copy is maintained by Finance. Copies of financial status RLF records are maintained by OED until loan is paid off; usually 5-10 years for monitoring purposes only and disposed of once loan is paid off	CL	5	CL+5	Dept. Policy
CM504	CITYWIDE LOAN FUND FILES	CL	5	CL+5	GC 34090
CM505	CULTURAL SERVICE AND PUBLIC ART CONTRACTS	AT+2	3	AT+5	Dept. Policy
CM600	POLICE REVIEW COMMISSION				
CM601	BOARD OF INQUIRY - HEARING RECORDINGS	CL+3	7	CL+10	Dept. Policy
CM602	POLICE REVIEW COMMISSION - COMPLAINT CASE FILES AND BOARD OF INQUIRY FINDINGS Civilian complaints investigated by the PRC and related correspondence, evidence, (documents, audio and video), interview transcripts, reports, and other investigative materials; Board of Inquiry findings; Caloca appeals, records and decisions	CL+3	PERM	PERM	Ord. 4644-N.S.; EVC-1045, GC 12946; PC832.5
CM603	POLICE REVIEW COMMISSION - MINUTES Electronic, in addition to hard copy, since 1999	3	PERM	PERM	Dept. Policy
CM604	POLICE REVIEW COMMISSION - AGENDA PACKETS Electronic, in addition to hard copy, since 2014	CYE+3	5	CYE+8	GC 34090
CM605	POLICE REVIEW COMMISSION - MEETING RECORDINGS Recordings have been digital only since 2012	3	None	3	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
CM607	INTERVIEW RECORDINGS Recordings have been digital only since 2012	CL+3	PERM	PERM	Dept. Policy
CM608	POLICY SUBJECT FILES, DEVELOPMENT OF PROCEDURES, AND HISTORICAL RECORDS				
CM608a	POLICY SUBJECT FILES Crowd control, civil rights, crack dealers, marijuana, transgender, etc.	5	10	15	Dept. Policy
CM608b	POLICIES AND PROCEDURES Policy/law, CETA, sidewalk obstruction, search & seizure, etc.; UCPD, BPA, Training	5	10	15	Dept. Policy
CM608c	POLICY SUBJECT FILES Sidewalk obstruction, officer accountability, drug anti-loitering ordinance, disability issues, affirmative action, etc.	5	10	15	Dept. Policy
CM608d	HISTORICAL RECORDS Legal/Litigation	5	10	15	Dept. Policy
CM608e	HISTORICAL RECORDS PRC records and reports, commissioner orientation and PRC handbooks	5	10	15	Dept. Policy
CM608f	HISTORICAL RECORDS PRC incorporation, Ordinance; Policy subject files: crowd control, homeless, guns, etc.; Procedural: regulations, officer rights, internal procedures, BPA-PRC relations	5	10	15	Dept. Policy

Retention Codes	
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ACT	Active
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APO	After Payoff
AS	After Settlement
AT	After Termination
AV	Administrative Value
CL	Close/Completion
CYE	Current Year End
EL	Election
FYE	Fiscal Year End
MAX	Maximum
PERM	Permanent
US	Until Superseded



City of Berkeley
 Records Management Program
 2180 Milvia Street
 Berkeley, CA 94704

RECORDS RETENTION SCHEDULE – FINANCE

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/ Henry Oyekanmi	/s/ Jerome Mayer-Cantu	/s/ Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIN100	ACCOUNTING				
FIN101	ANNUAL FINANCIAL REPORTS Includes Comprehensive Annual Financial Report (CAFR), Single Audit Report, and various component unit reports	PERM	-	PERM	SOX Section 802 S-X; Dept. Policy
FIN104	BERKELEY REDEVELOPMENT AGENCY - GENERAL LEDGER	5	PERM	PERM	GC 34090
FIN105	BONDS All documents having to do with the sale of bonds (as of 2009 all active bonds stored on S-drive in PDF format). Includes tax allocation bonds, conduit bonds, revenue bonds, and general obligation bonds issued by the City to fund major projects. (Accounting has official bond issue transcripts and all financial records. City Clerk has preliminary pre-issue bond documentation. Copies of bonds are retained until all bonds and coupons are redeemed.) Previously referred to as: Bonds – Registration. All documents having to do with sale of bonds, bond ledger - bond transcripts, official bound ledgers. Bonds - Destruction Certificates, Work Papers and Financial Statements. Bonds - Pension Refunding. City obligations under ordinance to make payments on behalf of the Safety Members Pension Board to certain retired city Police and Fire department personnel. Bonds - General Correspondence and Resolution File (see FIN125)	PERM	None	PERM	GC 34090, GC 53921, By Resolution depending on bonds issued

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIN106	ADJUSTING JOURNAL EDIT LISTINGS Record of transfer of funds from one account to another. Includes: Cash Transfers, Expense Corrections, Budget Mods, Inter-fund Charge Credit	FYE+2	8	FYE+10	Dept. Policy
FIN108	CHECK DISBURSEMENT REGISTERS FUND\$ (Warrant Register/Check Register, Accounts Payable Check Register)	FYE+1	6	FYE+7	Dept. Policy
FIN109	FINANCIAL STATEMENTS Citywide Budget Performance Report and Financial Transaction Reports, BPR, FTR, and FUND\$ (detailed budget reports)	5	5	10	Annual Appropriations Ordinance
FIN113	GRANTS Financial records of City-supported health and social welfare programs, Federal housing grant with an annual entitlement. Including but not limited to: Community Development Block Grant (CDBG), Community Services Block Grant (CSBG), Title III - Support Services, Office of Criminal Justice Planning (OCJP), community crime resistance program, Energy Crisis Intervention Program, funds to assist low-income individuals to pay bills	AA	10	10	OMB Circular A-102, A-110, & A-133, GC 34090, 24CFR570.502, 24CFR85.42
FIN118	FEDERAL AND STATE TAX RECORDS Payroll and Sales Tax	AA+3	7	AA+10	Dept. Policy, 29USC436, IRS REG 31.6001-1(e); R&T 19530, 29CFR516.5-516.6
FIN125	BONDS - GENERAL CORRESPONDENCE AND WORK PAPERS Reference material - purged/updated as needed by the department. (Resolutions are maintained electronically by City Clerk's office)	CL	10	CL+10	36090 N.S., 48558 N.S.,
FIN126	FISCAL AGENT - MONTHLY ACTIVITY REPORT Bank's monthly bond activity reports - summary worksheets, working papers (as of 2009 all statements stored on S-drive in PDF format)	CL	10	CL+10	CCP 337.5, 36090 N.S., 48558 N.S.
FIN127	PAYMENT VOUCHERS All invoices, including employee reimbursements, stipends, refunds, wires and ACH transactions, FNO24's such as weatherization for low-income housing payments to the participants is through FNO24	3	7	10	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIN135	CAPITAL LEASE OBLIGATIONS (as of 2009 all capital leases stored on S-drive in PDF format) City executed leases for energy efficient equipment, computer upgrades, and parking meters	PERM	None	PERM	Dept. Policy
FIN136	CERTIFICATES OF PARTICIPATION - ABAG 31-A (as of 2009 all active bonds stored on S-drive in PDF format) Issued by the Association of Bay Area Governments 7/1/93 to refinance outstanding certificates for construction of jail	PERM	None	PERM	Dept. Policy
FIN137	NOTES PAYABLE HOUSING AUTHORITY PROJECTS Rental Housing Construction Project (RHCP), Low Income Housing Project (LIPH), Construction Loans - Marina Berthing Rehabilitation (Energy Loan - California Energy Commission)	PERM	None	PERM	Dept. Policy
FIN138	BANK STATEMENTS (as of 2008 Bank Statements stored on G-drive in PDF format) Cancelled checks (electronic via bank website) Item # not valid after 2008 documents are sent to retention	FYE+1	None	FYE+1	Dept. Policy
FIN139	RECONCILED BANK ACCOUNTS Statements, work papers (as of 2008 bank statements stored on G-drive in PDF format), outstanding check list (saved to G-drive in Excel format), voided checks	FYE+3	4	FYE+7	Dept. Policy
FIN140	ASSETS DOCUMENTS Investments, long term-assets and short term assets (as of 2009 all assets documents stored on S-drive in PDF format), certificate of deposit (CD) statements and trade notices	PERM	None	PERM	Dept. Policy
FIN141	AUDIT, CAFR, AND YEAREND WORK PAPERS Workpapers created as part of the annual Audit, CAFR, and Yearend Process	3	7	10	Dept. Policy
FIN200	CUSTOMER SERVICE				
FIN201	BUSINESS LICENSE Payment receipts and applications	2	3	5	Dept. Policy
FIN202	COUNTY OF ALAMEDA (1985-1987) Money the City of Berkeley gets from the County, fines, road tax, etc. Treasury has fund post 1987.	5	None	5	Dept. Policy
FIN203	HEALTH INSPECTION PAYMENT RECEIPTS	5	None	5	Dept. Policy
FIN204	HOTEL TRANSIENT TAX Payment receipts from hotels	5	None	5	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIN205	ACCOUNTS OUTSTANDING AND PAYMENTS - HOUSING INSPECTION	5	None	5	Dept. Policy
FIN206	PAYMENT RECEIPTS - HOUSING INSPECTION	5	None	5	Dept. Policy
FIN207	WORK ORDERS AND ADJUSTMENTS - HOUSING INSPECTION	5	None	5	Dept. Policy
FIN208	SMALL CLAIMS	AS	3	AS+3	Dept. Policy
FIN209	MARINA CASH RECEIVED - PRINTOUTS	2	3	5	Dept. Policy
FIN210	MARINA PERMIT TO BERTH VESSEL Application to berth vessel, signature of lessee, and deposit receipt	PERM	None	PERM	GC 34090
CM401	REFUND FILE - PARKING	6 months	4-1/2	5	Dept. Policy
CM404	TICKETS BATCHES With original source documents	6 months	2-1/2	3	Dept. Policy
CM405	ADMINISTRATIVE REVIEWS (ARS), METER/SIGN/AREA CHECKS, AND HEARINGS Review of ticket cases and hearings with citizens contesting payment of tickets	AS+ 6 months	2-1/2	AS+3	Dept. Policy
CM406	COMMUNITY SERVICE RECORDS Record of hours completed by citizens performing community service work in lieu of paying fines	CL+ 6 months	2-1/2	CL+3	Dept. Policy
CM407	PARKING CITATIONS	6 months	2-1/2	3	Dept. Policy
CM408	PARKING TICKET SUPERVISOR CORRESPONDENCE Correspondence with ticketed citizens	AS+6 months	2-1/2	AS+3	Dept. Policy
CM409	PAYMENT PLANS Special arrangements made with citizens to pay fines	AS+6 months	2-1/2	AS+3	Dept. Policy
CM410	PREFERENTIAL PARKING PERMIT Applications and payment receipts	6 months	2-1/2	3	Dept. Policy
CM411	TOW RELEASES	2	1	3	Dept. Policy
CM412	LITIGATION FILES Parking cases	AS+1	4	AS+5	Dept. Policy
FIN400	PURCHASING				
FIN401	FORMAL - REQUESTS FOR PROPOSALS (RFP) Invitation for Bid (IFB) and unsuccessful RFP's and IFB's	AA	5	AA+5	GC 34090
FIN404	PURCHASE ORDERS, REQUISITIONS, AND INFORMAL BIDS	FYE+2	3	FYE+5	GC 34090
FIN408	VENDOR REGISTER	PERM	None	PERM	Dept. Policy
FIN409	VENDOR AND COMMODITY LISTS	US	None	US	GC 34090

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIN500	REVENUE COLLECTION				
FIN501	DOG LICENSE - APPLICATIONS AND RENEWALS	1	None	1	Dept. Policy
FIN502	REFUSE - PAYMENT RECEIPTS	2	None	2	Dept. Policy
FIN503	REFUSE - BILLING REGISTER AND UPDATES Printouts	2	3	5	Dept. Policy
FIN504	REFUSE ADJUSTMENTS Payment transfers, NSF, reversals	2	2	4	Dept. Policy
FIN505	REFUSE - WORK ORDERS	1	2	3	Dept. Policy
FIN506	TRANSFER STATION Tickets and invoices	1	None	1	Dept. Policy
FIN507	CITY PROPERTY RENTAL FILE LEASE AGREEMENTS Payments for property City owns	PERM	None	PERM	Dept. Policy
FIN508	FOOD VENDOR - APPLICATIONS	3	None	3	Dept. Policy
FIN509	STREET VENDORS - APPLICATIONS AND PHOTOS	2	None	2	Dept. Policy
FIN510	STREET VENDORS ROTATION Space allocation to vendors, includes printout	1	None	1	Dept. Policy
FIN511	TAXI APPLICATIONS Individual files, insurance, vehicle safety inspection report	2	None	2	GC 34090
FIN512	BUSINESS LICENSE Renewal applications and new license applications	2	2	4	Dept. Policy
FIN513	BUSINESS LICENSE Adjustment, refund, transfers, NSF	2	None	2	Dept. Policy
FIN514	MISCELLANEOUS ACCOUNTS RECEIVABLE Pending Charge Listing, Billing Register, Detail Trial Balance, Billing Summary, original documents from dept., Adjustments, Adjustment Control Log	2	None	2	Dept. Policy
FIN515	MISCELLANEOUS ACCOUNTS RECEIVABLE Payment transfers, NSF, reversals	2	2	4	Dept. Policy
FIN516	MISCELLANEOUS ACCOUNTS RECEIVABLE UPDATE REPORTS AJ	1	None	1	Dept. Policy
FIN517	MISCELLANEOUS ACCOUNTS RECEIVABLE Payment receipts	2	None	2	Dept. Policy
FIN518	MESSAGE Application, renewal, certificate, police background	5	None	5	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIN600	REVENUE COLLECTION - REAL PROPERTY				
FIN601	ASSESSOR'S MAP BOOKS Plot maps (original maps maintained by the County)	PERM	None	PERM	Dept. Policy
FIN602	BUILDING CARDS Structure square footage/room count	PERM	None	PERM	Dept. Policy
FIN603	CORRESPONDENCE - REAL PROPERTY Parcel correspondence files	4	None	4	Dept. Policy
FIN604	CORRESPONDENCE Transfer taxes	4	None	4	Dept. Policy
FIN607	SECURED TAX ROLL Original maintained by the County	PERM	None	PERM	Dept. Policy
FIN609	RECORDED DEEDS - TRANSFER TAXES Reports from Alameda County that show number of deeds recorded and amount of transfer tax collected	3	None	3	Dept. Policy
FIN610	SPECIAL ASSESSMENTS - PROPERTY TAXES	PERM	None	PERM	Dept. Policy
FIN700	TREASURY				
FIN701	ACCOUNT RECONCILIATION Garage reconciliation, meter coin reconciliation	FYE+2	5	FYE+7	Dept. Policy
FIN702	ADJUSTING JOURNAL EDIT LISTS	FYE+2	5	FYE+7	Dept. Policy
FIN703	TREASURY INFORMATION REPORTS	FYE+1	6	FYE+7	Dept. Policy
FIN704	TREASURY RECORD OF DEPOSITS (GENERAL LEDGER) Cash receipts edit/post listings, GMBA batches	FYE+1	6	FYE+7	Dept. Policy
FIN705	MISCELLANEOUS TAXES Transfer tax, utility users tax, hotel occupancy tax, parking lot tax	5	2	7	Dept. Policy

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City of Berkeley
 Records Management Program
 2180 Milvia Street
 Berkeley, CA 94704

RECORDS RETENTION SCHEDULE – FIRE

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
David Brannigan	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIRE100	FIRE CHIEF - ADMINISTRATION				
FIRE101	FIRE DEPARTMENT EMPLOYEE FILES INCLUDING ANNUAL PHYSICAL REPORTS	AT+30	None	AT+30	GC 12946, Dept. Policy 29 CFR 1910.1020(d)(1)(i)
FIRE104	GRIEVANCE FILES - LABOR RELATIONS	AS+5	None	AS+5	Dept. Policy, GC 12946 (2 years)
FIRE107	FIRE SAFETY COMMISSION MINUTES	PERM	None	PERM	GC 34090
FIRE200	EMERGENCY PREPAREDNESS				
FIRE201	MUTUAL AID, STRATEGIC PLANS	US+2	None	US+2	GC 34090
FIRE202	REGISTRATION FORMS - CERT CLASSES Community Emergency Response Training	CYE+2	None	CYE+2	GC 34090
FIRE203	LIABILITY WAIVER FORMS Waivers for participants in hands-on disaster and first aid training programs	CYE+3	None	CYE+3	GC 34090
FIRE300	FINANCIAL SERVICES				
FIRE301	AMBULANCE BILLING All aspects of accounts receivable	5	None	5	GC 34090(c)
FIRE302	AMBULANCE BILLING CORRESPONDENCE Letters of patients and replies, copies of subpoenas for medical records, etc.	5	None	5	GC 34090(c)
FIRE303	FIRE INSPECTION FEE/FALSE ALARM Proof of payments	5	None	5	GC 34090(c)
FIRE307	BILLING ADJUSTMENTS Complaints and adjustments of billing records	2	None	5	GC 34090
FIRE308	FIRE AND POLICE PAYROLL RECORDS	10	10	20	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
FIRE400	DEPUTY CHIEF - OPERATIONS				
FIRE401	INVENTORY Equipment and supplies	CYE+2	None	CYE+2	GC 34090
FIRE500	FIRE PREVENTION				
FIRE503	FIRE PREVENTION OCCUPANCY FILES FIRE INSPECTION REPORTS Notification of inspection on property/premises and related reports; alarm and sprinkler systems; window bar, hazardous materials report, vegetation inspections, permits, plan reviews, incident reports, tank removals, and other prevention efforts	PERM	None	PERM	2010 CFC 104.6
FIRE600	SUPPRESSION AND RESCUE SERVICES				
FIRE601	INVESTIGATIONS, EVIDENCE OF ARSON				
FIRE601a	ARSON RESULTING IN HOMICIDE	CL+6	PERM	PERM	PC 799
FIRE601b	ARSON RESULTING IN GREAT BODILY HARM, INHABITED STRUCTURE OR PROPERTY	CL+6	None	CL+6	PC 800
FIRE602	INCIDENT REPORTS Dispatch and daily logs	CL+3	None	CL+3	GC 34090, CCP 338
FIRE603	HAZARDOUS WASTE DISPOSAL Documentation regarding handling and disposal of hazardous waste	CYE+10	None	CYE+10	Cal OSHA, 40CFR122.21
FIRE700	TRAINING AND EMERGENCY MEDICAL SERVICES				
FIRE701	PERSONNEL FILES Probationary employees (JAC - Joint Apprenticeship Committee) *Retention Note: If a complaint has been filed, retain indefinitely in office	AT+5	None	AT+5	GC 12946
FIRE702	PERSONNEL - EXPOSURE RECORDS SAMPLING RESULTS, COLLECTION METHODOLOGY, BACKGROUND REPORTS, LAB REPORTS, AND WORKSHEETS	AT+30	None	AT+30	29 CFR 1910.1020(d)(1) (i)
FIRE703	PATIENT CARE REPORT (CONFIDENTIAL)	5	35	40	Title 22
FIRE704	AMA (AGAINST MEDICAL ADVICE)/REFUSAL OF CARE	5	35	40	Title 22

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City of Berkeley
 Records Management Program
 2180 Milvia Street
 Berkeley, CA 94704

RECORDS RETENTION SCHEDULE – HEALTH, HOUSING AND COMMUNITY SERVICES

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
Kelly Wallace	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HHS100	ADMINISTRATION & FISCAL SERVICES				
HHS101	HISTORICAL FILE Plot map of communicable diseases in Berkeley from 1923 through 1941		PERM	PERM	GC 34090
HHS102	REQUEST FOR CERTIFIED COPY OF BIRTH/DEATH RECORD	2	3	5	Dept. Policy
HHS103	BIRTH AND DEATH CERTIFICATES City's copy will remain in office for 6 years and destroyed after 8	6	2	8	Per agreement with Alameda County, all original records are transferred to Alameda County monthly
HHS104	PURCHASING RECORDS – GRANTS Department requisitions, purchase orders, request for encumbrance (fn-24), warehouse requisitions	FYE + 2	AE + 12	AE+14	GC 34090
HHS105	EMPLOYEE TIME SHEETS/CARDS – DEPARTMENT COPIES Includes application for leave of absence – leave requests. Retain for grant fund audit and FEMA reports	FYE + 2	AE + 12	AE + 14	GC 34090, 29CF512.2, 26CFR31.6001 (E)(2)
HHS106	PAYROLL REPORTS AND RELATED RECORDS	FYE + 2	AE + 12	AE + 14	GC 34090
HHS208	POLICIES AND PROCEDURES - PROTOCOL MASTERS All Health Promotion protocols - maintained by the division - purged/updated as needed by the division; one copy of each protocol maintained permanently for historical purposes	PERM	None	PERM	Dept. Policy
HHS200	PUBLIC HEALTH – CLIENT SERVICES				

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HHS201	CHILD HEALTH CONFERENCE CLINICAL RECORDS (CHC) *Retention Note: Retain records 7 years or one year past age 18, whichever is longer	1	6	*7	CA H&W Agency, 22 CA ADC sec.75055
HHCS603	IMMUNIZATION CONSENT/REGISTRATION FORMS Consent forms for all immunizations - flu, etc. *Retention Note: Retain records for 3 years or one year past age 18, whichever is longer	3	None	*3	IMM-1240 Policy per CA State Immunization Branch
HHS202	FIELD SERVICES REFERRALS Requests for public health nursing services including home visits, information, health education, referrals, etc. Includes referrals disposed as "unopened" and "21"	2	None	2	GC 34090
HHS205	PATIENT CHARTS - FIELD SERVICES Field services family folders. Case management folders for entire family. *Retention Note: Retain records 8 years or one year past age 18, whichever is longer	8	None	*8	22 CA ADC sec.75055 sec. 53861
HHS206	COMMUNICABLE DISEASE Class II TB patient records, Not Active and other TB patient records, CD case histories, California Morbidity Reports (CMR), foodborne illness reports, treatment record cards, clinic appointment schedules, TB/CD log sheets	8	None	8	Dept. Policy
HHS207	PATIENT CHARTS - INDIVIDUALS				
HHS207a	ADULTS	CL+7	None	CL+7	22 CA ADC sec.75055
HHS207b	INFANT THRU AGE 18 *Retention Note: Retain records 7 years or one year past age 18, whichever is longer	CL+1	6	*CL+7	22 CA ADC sec.75055
HHS209	FIELD SERVICE DAILY REPORTS - "DAILIES" Report of daily activities by field services staff	8	None	8	Dept. Policy (meets DHS PPL No. 00-013)
HHS210	REPORTS - CHDP Child Health and Disability Prevention (CHDP) program annual school report; CHDP program annual performance measures	5	None	5	CHDP State Policy
HHS211	CHDP REFERRAL FORM - (PM 357) Report of applicant doctor visits, vaccine reaction reports and report of applicants for aid	3	None	3	Dept. Policy
HHS212	CHDP ASSESSMENT CONFIDENTIAL SCREENING BILLING REPORT - (PM160) As of 2017, PM160s no longer required to be stored per State CHDP Program	*3	None	*3	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HHS213	PHCA FILES Preventative health care for the aging	7	None	7	22 CA ADC sec.75055
HHS215	CLINIC BILLING ENCOUNTERS Clinic sites include: Ann Chandler Public Health Clinic, Berkeley High School Health Center, and Berkeley Technology Academy Health Center	3	None	APO	22 CA Section 51476; Medi-Cal Provider Agreement - DHCS 6208 (REV. 2/17)
HHS216	STATE MEDI-CAL BILLINGS AND EOBS FOR CLINICS	3	None	APO	22 CA Section 51476; Medi-Cal Provider Agreement - DHCS 6208 (Rev. 2/17)
HHS217	COMMUNICABLE DISEASE Class III and IV TB patient records	PERM	None	PERM	Dept. Policy
HHS218	COMMUNICABLE DISEASE Chest X-rays	AV	None	AV	Dept. Policy
HHS219	CLINIC REGISTER RECEIPTS Cash edit listings, deposit slip copies, credit card slips	2	5	7	Dept. Policy
HHS220	WIC - CERTIFICATION NUTRITION ASSESSMENTS Women, Infant and Children Services (WIC)	3	7	10	California Code, Welfare and Institutions Code - WIC § 10851
HHS221	SMOKE-FREE MULTI-UNIT HOUSING COMPLAINT FORM	3	None	3	Dept. Policy
HHS222	STATE MEDI-CAL BILLINGS – TCM TCM Medi-Cal forms, bills, checks, payments, clients records; subject to State and Federal audit (to be reviewed/pulled after audit complete)	3	7	AA+10	Dept. Policy; 42 CFR §433.322 Cooperative of American Physicians and the California Medical Association
HHS223	STATE MEDI-CAL BILLINGS - CMAA - FEDERAL Medi-Cal forms, bills, checks, payments, clients records; subject to State and Federal audit (to be reviewed/pulled after audit complete)	3	7	AA+10	Dept. Policy; 42 CFR §433.322 Cooperative of American Physicians and the California Medical Association
HHS300	ENVIRONMENTAL HEALTH				
HHS301	NOISE - PERMITS	2	None	2	GC 34090

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HHS302	NOISE - VARIANCE	2	None	2	GC 34090
HHS303	INDUSTRIAL SANITATION INSPECTION FILES	5	None	5	Dept. Policy
HHS304	NOTICE OF PESTICIDE APPLICATION	2	None	2	GC 34090
HHS305	PROPERTY, BODY ART, CANNABIS AND FOOD ESTABLISHMENT FILES	5	None	5	Dept. Policy
HHS400	MENTAL HEALTH				
HHS401	ALAMEDA COUNTY MENTAL HEALTH BILLINGS Monthly billings, payments, checks from Alameda County Retention Note: Retain records 7 years or until audited, whichever is first	AA	None	AA	Dept. Policy
HHS402	CLIENT DATA SYSTEM - CALIFORNIA DEPARTMENT OF MENTAL HEALTH (INSYST) Mandated reporting system memos and other information, reference material purged/updated as needed by department	US	None	US	Dept. Policy
HHS403	DAILY REPORT OF SERVICE ACTIVITY (DRSA) Supporting documentation for State and County billings	4	3	7	Dept. Policy
HHS404	MENTAL HEALTH OUTPATIENT RECORDS AND SIGN IN SHEETS - ADULT BERKELEY AND ALBANY RESIDENTS	CL+2	5	CL+7	22 CA ADC sec.75055
HHS405	MENTAL HEALTH OUTPATIENT RECORDS AND SIGN IN SHEETS - CHILDREN TO 25 (NOT NECESSARILY BERKELEY RESIDENTS) *Retention Note: Retain records 7 years or one year past age 18, whichever is longer	CL+2	5	*CL+7	22 CA ADC sec.75055
HHS406	RECEIPTS FOR MENTAL HEALTH CLIENT FEES Daily cash and check count report, fee collection transfer receipts (supporting documents for State and County billings)	2	5	7	Dept. Policy
HHS407	STATE DEPARTMENT OF MENTAL HEALTH - COST/REPORT DATA COLLECTION MANUALS Annual State Forms Use Manual - purged/updated as needed by department	US	None	US	Dept. Policy
HHS408	STATE DEPARTMENT OF MENTAL HEALTH - LETTERS AND INFORMATION NOTICES Department of Mental Health Now Do This and Now Hear This policy information - reference material purged/updated as needed by the department. Retention Note: One copy should be retained permanently for historical reference	US	None	US	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HHS409	STATE MEDICAL BILLINGS Medi-Cal forms, bills, checks, payments; subject to State and Federal audit (to be reviewed/pulled after audit complete)	AA	2	AA+2	Dept. Policy
HHS410	MEDI-CAL ADMINISTRATIVE ACTIVITIES (MAA) BILLING AND RELATED DOCUMENTATION	2	5	AA	Dept. Policy
HHS411	MHSA FULL SERVICE PARTNERSHIP (FSP) DATA REPORTS Clients Service Information (CSI), client reports and other materials as requested by state or MHSA (Prop 63 legislation)	5	2	7	22 CA ADC sec.75055
HHS412	MENTAL HEALTH SERVICES ACT (MHSA) Plans, Notices, and Expenditures Reports	CL+5	CL+15	CL+20	OMB Circular A-133; Dept. Policy
HHS413	GRADUATE INTERN RECORDS	3	2	5	Dept. Policy
HOUS100	HOUSING SERVICES				
HOUS101	HOUSING DEVELOPMENT PROJECT FILES (HOUSING TRUST FUND) Funding applications and proposals, project underwriting, relocation files if applicable, environmental review files, disposition agreements. Includes Redevelopment Agency project files. Also includes tenant income qualifications and rent calculations, copies of leases from initial lease up.	CL+5	PERM	PERM	Dept. Policy, HUD (CDBG and/or HOME) and State Redevelopment Law
HOUS102	HOUSING DEVELOPMENT PROJECT FILES (HOUSING TRUST FUND) - CONSTRUCTION FILE Site acquisition, feasibility analysis, construction documents, consultant contracts, construction period monitoring and correspondence	CL+5	10	CL+15	Dept. Policy
HOUS103	HOUSING DEVELOPMENT PROJECT FILES (HOUSING TRUST FUND) Applications of projects not funded	CYE+1	NONE	CYE+1	Dept. Policy
HOUS104	CONDOMINIUM CONVERSION ORDINANCE AGREEMENTS	3	PERM	PERM	Dept. Policy
HOUS105	BELOW MARKET RATE HOUSING PROJECT FILES Inclusionary housing, affordable housing mitigation fee, and demolition fee agreements	CL+3	PERM	PERM	Dept. Policy
HOUS106	HOUSING REHABILITATION PROGRAMS - SENIOR & DISABLED REHAB LOAN PROGRAM Contract documents, promissory note, deed of trust, summary sheet, contract with owner (scope of work), environmental review, finance documents	CL+3	PERM	PERM	OMB Circular A-110, 2 CFR 215.53, 24 CFR 570.490

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HOUS119	HOUSING DEVELOPMENT PROJECT LONG TERM AGREEMENTS (HOUSING TRUST FUNDS) Grant and loan agreements requiring long term monitoring (deed of trust, contract, regulatory agreement, title insurance, promissory note). Leases of City-owned property for housing. Includes Redevelopment Agency agreements	PERM	None	PERM	Dept. Policy, HUD (CDBG (24 CFR 570.490) and/or HOME (24 CFR 92.508)) and State Redevelopment Law
HOUS120	HOUSING TRUST FUND MONITORING FILES Annual compliance reports, physical inspection files	5	None	5	Dept. Policy, HUD (CDBG (24 CFR 570.490) and/or HOME (24 CFR 92.508))
HOUS121	BELOW MARKET RATE HOUSING MONITORING FILES Inclusionary housing, affordable housing mitigation fee, and demolition fee monitoring files only	3	3	3	Dept. Policy
HOUS200	COMMUNITY SERVICES				
HOUS202	SHELTER PLUS CARE - TENANT FILES Housing assistance payments and program files	AE+2	3	AE+5	OMB Circular A-110, 2 CFR 215.53, 24 CFR 570.490
HOUS205	HOUSING RETENTION PROGRAM	AT+2	3	AT+5	Dept. Policy
HOUS206	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG), EMERGENCY SOLUTIONS GRANT, HOME INVESTMENT PARTNERSHIP GRANT Applications, revenue agreements, reports (including Conplan, CAPER, AAP), budget, financial reports. Records for real property and equipment acquired with Federal funds shall be retained for 3 years after final disposition. Records involved in any litigation, claim or audit should be retained until all litigation, claims or audits have been resolved and final action taken	3	2	5	OMB Circular A-110, 2 CFR 215.53, 24 CFR 570.490, GC 34090
HOUS207	COMMUNITY AGENCY CONTRACTS (CDBG AND OTHER FUNDS) Contract files, monitoring reports, environmental reviews, and correspondence	AE+2	3	AE+5	OMB Circular A-110, 2 CFR 215.53, 24 CFR 570.490
HOUS208	COMMUNITY SERVICES BLOCK GRANT (CSBG) FILES Revenue agreements, reports	AE+2	3	AT+5	OMB Circular A-110, 2 CFR 215.53, 24 CFR 570.490
HOUS209	COMMUNITY AGENCY CONTRACT PERMANENT FILES Includes Articles of Incorporation, by-laws, non-profit status, etc.	ACT	None	CL	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HOUS213	RELOCATION ORDINANCE NO. 69,977-N-S FILES Case files with alternative agreements, landlord/tenant letters, etc.	CL+3	None	CL+3	Dept. Policy
HOUS217	YOUTH WORKS PROGRAM Youth employee intern program files and administration documents – Job Order Forms, timesheets, sign in/out sheets	CL+2	3	5	Dept. Policy
HOUS218	FIRST SOURCE ORDINANCE FILES	CY+3	2	CY+5	OMB Circular A.102, A.133 Department policy for non-federal projects
HOUS219	COMMUNITY FACILITY IMPROVEMENTS (CDBG) Contract files, payroll records, construction monitoring documents	CL+2	3	CL+5	OMB Circular A-110, 2 CFR 215.53, 24 CFR 570.490
HOUS220	COMMUNITY WORKFORCE AGREEMENT (CWA) Capital improvement project files: agreements to be bound, pre-job records, dispatch requests, good faith efforts documents, utilization reports, etc.	CL+5	2	CL+7	Dept. Policy
HOUS221	LABOR STANDARDS ENFORCEMENT Minimum Wage, Living Wage, paid sick leave, BFFEFWO, etc.	CL+4	None	CL+4	Dept. Policy
HOUS300	AGING SERVICES				
HOUS214	PARA-TRANSIT CLIENT FILES Client names, addresses, income categories, type, mailing list, etc.	PERM	None	PERM	Dept. Policy
HOUS215	PARA-TRANSIT APPLICATIONS Inactive or denied applications	FYE+1	None	FYE+1	Dept. Policy
HOUS216	TAXI AND VAN VOUCHERS Redeemed taxi and van vouchers, also called "Taxi Scrips"	1	5	6	Dept. Policy
HOUS301	DRIVERS PERMITS	2	None	2	Dept. Policy
HOUS302	CONGREGATE PROGRAM PARTICIPANT CARDS Senior nutrition program with Alameda County	3	7	10	Dept. Policy
HOUS303	PORTABLE MEALS DONATION REQUESTS Containing meals sent – amounts of donation requested	3	7	10	Dept. Policy
HOUS304	DAILY MEAL AND DONATION TALLY Count of meals served and donation received	3	7	10	Dept. Policy
HOUS305	PORTABLE MEAL INTAKE/ASSESSMENT FORMS	AT+3	7	AT+10	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HOUS306	NUTRITION PROJECT SIGN IN SHEETS	3	7	10	Dept. Policy
HOUS307	VOLUNTEER (IN KIND) SERVICES REPORT	3	7	10	Dept. Policy
HOUS308	STATE MEDICAL BILLINGS – TCM Medi-Cal forms, bills, checks, payments; client records, subject to State and Federal audit (to be reviewed/pulled after audit complete)	AA+3	7	10	Dept. Policy 42 CFR §433.322 Cooperative of American Physicians and the California Medical Association
HOUS309	STATE MEDICAL BILLINGS – CMAA - FEDERAL Medi-Cal forms, bills, checks, payments; client records, subject to State and Federal audit (to be reviewed/pulled after audit complete) Certified Medical Assistant Association	AA+3	7	10	Dept. Policy 42 CFR §433.322 Cooperative of American Physicians and the California Medical Association

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RECORDS RETENTION SCHEDULE – HUMAN RESOURCES

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
LaTanya Bellow	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HR100	ADMINISTRATION				
HR101	NEGOTIATIONS Notes, correspondence, contracts, and Memorandums of Understanding regarding labor negotiations between City and unions. Access is restricted to Employee Relations Manager, Director of Human Resources, and City Attorney for HR	4	PERM	PERM	Dept. Policy
HR200	AFFIRMATIVE ACTION				
HR201	ADA: REASONABLE ACCOMMODATION ACTIONS	2	3	5	29 CFR 1602.31
HR202	EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS/REPORTS Access is restricted to: City Manager, City Attorney for HR, HR Director, and EEO and Diversity Officer				
HR202c	Case files relating to discrimination complaints, including complaints, legal and investigative documents, exhibits, related correspondence, withdrawal notices, and decisions or judgments	CL+3	None	CL+3	29 CFR 1602.30, 29 CFR 1602.32
HR300	EMPLOYEE BENEFITS				
HR301	EMPLOYEE BENEFITS RECORDS Employee benefit plans such as beneficiary forms and amendments	PERM	None	PERM	GC 6250 et seq, 29USC1027, 29 CFR 1627.3(b)(2), Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HR400	EXAMINATION MANAGEMENT AND ADMINISTRATIVE SERVICES (EMAS)				
HR401	EMPLOYMENT APPLICATIONS Access is restricted to Human Resources Dept Examination staff and authorized department users only	CL+3	None	CL+3	GC 12946, GC 6250 et seq, 29 CFR 1602.31
HR406	APPLICANT EXAMINATIONS Records relating to tests required of job applicants or of current personnel to qualify for promotion. Access is restricted to the Director of Human Resources, Recruitment and Examination staff				
HR406a	TESTS	CL+3	None	CL+3	29 CFR 1602.31
HR406b	TEST PAPERS OF PERSONS TAKING TESTS	CL+3	None	CL+3	29 CFR 1602.31
HR500	EMPLOYEE RELATIONS				
HR501	GRIEVANCE RECORDS Records relating to the review of employee grievances against personnel policies, working conditions, etc. Access is restricted to the Director of Human Resources, Employee Relations Manager, Senior HR Analyst assigned to Employee Relations, City Attorney assigned to HR, and Employee Relations clerical staff	AS+2	PERM	PERM	Dept. Policy
HR502	DISCIPLINARY AND ADVERSE ACTION RECORDS Records created by Personnel Board or by Human Resources or supervisory officers in considering or reconsidering an appeal, an adverse action against an employee (e.g., demotion, probation, termination, suspension, leave without pay). Due process prior to disciplinary action. Access is restricted to: Employee Relations Manager, Employee Relations Senior HR Analyst, Employee Relations clerical staff, City Attorney for Human Resources, Director of Human Resources, and other staff as may be designated by the Director of Human Resources	CL+2	PERM	PERM	29 CFR 1602.31 Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HR600	RISK MANAGEMENT				
	WORKERS COMPENSATION FILES Initial and supplemental reports of accidents to or job-related illnesses of employees, and documentation relating to any subsequent filing of claims by employees. Access is restricted to: Director of Human Resources, Employee Relations Manager, HR Office Specialist III, City Attorney, EEO and Diversity Officer, Occupational Health and Safety Officer, Associate Human Resources Analyst, and other persons designated by the Director of Human Resources	AT	CL	CL+5	Dept. Policy (CA Code of Regulations, Title 8, §15400.2)
HR602a					
HR602b	For employees exposed in the course of their work to toxic substances, harmful physical agents, or blood-borne pathogens (injury reports)	AT+30	None	AT+30	CCR, Title 8, Section 3204(d)
HR700	TRANSACTIONS				
	EMPLOYEE SERVICE RECORD "Employee Cardex File" - Employment history summary for each employee. Contains: name; date of birth; social security number; positions held, with dates of hire, promotion, transfer, or demotion; dates of leaves of absence or suspension that affect computation of length of service; wage or salary rate for each position held, including step or merit increases within grades; and date of separation. Access is restricted to the Director of Human Resources, Employee Relations Manager, and Employee Transaction Unit staff. Director of Human Resources may designate other staff access	PERM	None	PERM	GC 34090, GC 6250
HR701					
	MEDICAL FILE May include family and medical leave records, certifications, and health or physical certificates of all jobs. Access is restricted to the Director of Human Resources, Employee Relations Manager, Associate HR Analyst, HR Technicians, OSIII, OSII and other staff as may be designated by Director of Human Resources	CL+5	25	CL+30	FMLA 1993, 29 CFR 1910.20, 29 CFR 1602.30, 29 CFR 1602.32
HR702					
	OCCUPATIONAL HEALTH AND SAFETY REPORTS Access is restricted to the Occupational Health and Safety Coordinator and Specialist, Director of Human Resources, Employee Relations Manager, Associate HR Analyst, OSIII, and other staff as may be designated by Director of Human Resources				
HR703					

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
HR703a	Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports	CL+5	None	CL+5	CCR, Title 8, Section 3204(d)
HR703b	DEPARTMENT OF TRANSPORTATION REQUIREMENTS DMV Pull Notice, copy of Driver's License, Random Drug Results, Drug and Alcohol Testing Programs Acknowledgement, Drivers Proficiency Form, Reasonable Suspicion Training, etc.	CL+7	None	CL+7	GC 12946, 12810.5b VC
HR704	EMPLOYEE PERSONNEL FILES Includes Personnel Action/Information forms used to create/change information in the personnel records of individual employees regarding hiring, termination, transfer, performance evaluations, pay grade, position/job title, leaves of absence, name changes, and similar actions except those noted elsewhere in this schedule. Access is restricted to the individual employee, Director of Human Resources, Employee Relations Manager, and Employee Transaction Unit staff and other staff as may be designated by Director of Human Resources Retention Note: Library retains its own personnel records	AT+1	4	AT+5	GC 34090, GC 6250, Dept. Policy

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RECORDS RETENTION SCHEDULE – INFORMATION TECHNOLOGY

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
Savita Chaudhary	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
IT100	ADMINISTRATION				
IT101	BACKUPS Production data from all operational systems required for business continuity in the event of accidental data loss, equipment failure, or disaster. User files from network drives such as spreadsheets and documents. System logs and operating system settings	1 day to 1 month	1 month to 7 years	Up to 7 years	Dept. Policy (length of storage depends upon legal and operational requirements)
IT102	RFPS/PURCHASING DOCUMENTS	AE+4	None	AE+4	Dept. Policy
IT103	TECHNICAL DOCUMENTATION Documentation, procedures, policies, network diagrams and other related reference materials needed to maintain and support all enterprise systems and/or resume necessary business activities in response to a disaster Retention Note: If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc., any technical documentation required to retrieve and read the records must be retained for the same period	US	None	US	Dept. Policy
IT104	SECURITY AND SYSTEM ACTIVITY DOCUMENTATION Security configurations, log files, user account information and other information related to security administration and system monitoring	AE	None	AE	Dept. Policy

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RECORDS RETENTION SCHEDULE – PARKS, RECREATION AND WATERFRONT

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/ Scott Ferris	/s/ Jerome Mayer-Cantu	/s/ Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PRW100	ADMINISTRATION				
	PLANS, PROPOSED—UNBUILT Expansion and future site; studies and plans, including but not limited to project survey files, environmental impact reports, geotechnical reports, basis of design reports and feasibility studies Retention Note: Some of these may be of historical significance and worthy of permanent storage (See PRW106)	CL+2	None	CL+2	GC 34090
PRW102 (includes files formally in PWKS303)	CAPITAL IMPROVEMENT PROJECT FILES Construction projects – Plans, Specifications, and Reports, including but not limited to project survey files, environmental impact reports, geotechnical reports, basis of design reports and feasibility studies; Material Submittals, O&M Manuals, Warranties, etc. Retention Note: Other items in the Project Files that may be of historical significance should be retained under PRW106	CL+2	PERM	PERM	Dept. Policy
PRW103	CAPITAL IMPROVEMENT PROJECT FILES Construction projects – All other documents (not covered in PRW102) that support progress of project from inception to completion, including but not limited to meeting minutes, consultant scope of work, bidders list, change orders, progress payments, inspection logs, etc.	CL+2 (non-grant projects) CL+7 (grant-funded projects)	None	CL+2 (non-grant projects) CL+7 (grant-funded projects)	Dept. Policy
PRW104	PLANNING STUDIES Retention Note: Some of these may be of historical significance and worthy of permanent storage (See PRW106)	CL+5	None	CL+5	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PRW105	PARK EVALUATIONS AND ASSESSMENTS Safety and accessibility Retention Note: Some of these may be of historical significance and worthy of permanent storage (See PRW106)	CL+5	None	CL+5	Dept. Policy
PRW106	Historical File—by Park Includes newspapers, news releases, and photos (Previously PRW103)	PERM	None	PERM	Dept. Policy
PRW200	MARINA				
PRW201	BERTH AGREEMENTS Permit to berth vessel	CL+5	None	CL+5	Dept. Policy
PRW202	MARINA CASH EDIT REPORT	5	None	5	Dept. Policy
PRW203	MARINA REPORTS A/R log	5	None	5	Dept. Policy
PRW204	HISTORICAL FILE- WATERFRONT Includes newspapers, news releases, and photos	PERM	None	PERM	Dept. Policy
PRW205	DAILY LOG Bound notebooks of daily wind conditions and occurrences at the Marina	PERM	None	PERM	Dept. Policy
PRW300	PARKS (FACILITIES MAINTENANCE, FORESTRY, LANDSCAPE MAINTENANCE)				
PRW302	PARKS INSPECTION CHECKLISTS Quarterly park inspection sheets completed by landscape maintenance crews	PERM	None	PERM	Dept. Policy
PRW303	LANDSCAPE MAINTENANCE - WORK MANAGEMENT TIMESHEETS Daily, weekly, monthly reports	2	None	2	Dept. Policy
PRW304	CITY OF BERKELEY PROGRAMS AND PROJECTS Correspondence relating to COB programs/projects, i.e., summer youth, BYA, volunteers, EBCC	2	None	2	GC 34090
PRW305	MAPS AND BLUEPRINTS As-built plans: irrigation, etc.	PERM	None	PERM	GC 34090
PRW306	PHOTOGRAPHS Retention Note: Review carefully; some material may be of historical significance and warrant permanent retention, see PRW103	US	2	US+2	GC 34090
PRW307	SCHEDULES, CLASSES AND EVENTS Enrollment, liability releases, evaluations, attendance, flyers, etc.	CYE+2	None	CYE+2	GC 34090
PRW308	INVENTORIES, EQUIPMENT Including warranties, purchase orders, etc.	2	None	2	GC 34090

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PRW309	MAINTENANCE OPERATION FILES Work orders, inspections, repairs, cleaning, reports and complaints	CYE+2	None	CYE+2	GC 34090
PRW400	RECREATION				
PRW401	DAILY ATTENDANCE FORMS	2	None	2	Dept. Policy
PRW402	DROP-IN WAIVER Adventure playground, pools, recreation centers	4	None	4	Dept. Policy
PRW403	HEALTH HISTORY FORMS *Retention Note: Retain 10 years or until minor reaches the age of 20, whichever is longer	2	8	*10	Dept. Policy
PRW404	LIABILITY RELEASE FORMS Volunteers and participants	4	None	4	Dept. Policy
PRW405	LOG BOOKS Log of operation forms, maintenance records, and check-offs	3	PERM	PERM	Dept. Policy
PRW406	PARK USE PERMITS/FACILITY USE PERMITS	5	None	5	Dept. Policy
PRW407	REGISTRATION FORM Camps, classes, programs, special events, sports leagues. May include scholarship application	2	3	5	Dept. Policy
PRW408	URBAN PARK AND RECREATION RECOVERY PROGRAM (UPARR) Park management plans	PERM	None	PERM	Dept. Policy
PRW409	YOUTH WITH SPECIAL NEEDS Purchase of service authorization, evaluation, and intake/screening reports	5	None	5	Dept. Policy

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RECORDS RETENTION SCHEDULE – PLANNING

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/ Timothy Burroughs	/s/ Jerome Mayer-Cantu	/s/ Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PLNG100	ADMINISTRATION				
PLNG101	PLANNING DIRECTOR'S FILES Working files on active problems; reference files	US	None	US	GC 34090
PLNG200	CURRENT PLANNING				
PLNG201	ADMINISTRATIVE USE PERMITS Chronological record of AUPs	5	PERM	PERM	Dept. Policy
PLNG202	CURRENT PLANNING CARD FILES Updated as needed by department	US	None	US	Dept. Policy
PLNG204	ENVIRONMENTAL REVIEW PROJECT FILES Project files by address; traffic/hazardous materials/groundwater/soil studies	5	PERM	PERM	Dept. Policy
PLNG205	ZONING CERTIFICATES FOR: HOME OCCUPATION PERMITS, BUSINESS LICENSES, BUILDING PERMITS, ETC. One time issue permit, no renewal required	2	PERM	PERM	Dept. Policy
PLNG206	LANDMARKS PRESERVATION COMMISSION - PROJECT FILES BY ADDRESS AND CORRESPONDENCE	5	PERM	PERM	Dept. Policy
PLNG207	LANDMARK PRESERVATION COMMISSION - NOTICES OF DECISION OF LANDMARK DESIGNATION OF PROPERTY	5	PERM	PERM	Dept. Policy
PLNG208	LANDMARK PRESERVATION COMMISSION - LIST OF HISTORIC SITES	5	PERM	PERM	Dept. Policy
PLNG209	MAPS - SANBORN FIRE INSURANCE MAP COLLECTION Historical maps of lots, blocks, and structures used in estimating potential risk for urban structures; includes data on construction material, height and function as well as location of lot lines	5	PERM	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PLNG210	MASTER BOOK Masters of current planning handouts, updated/purged as needed by the department	US	None	US	Dept. Policy
PLNG211	SUBDIVISION FILES Lot splits/condo conversions	5	PERM	PERM	Dept. Policy
PLNG212	SUBDIVISION/CONDO LOG Project description, address, action	5	PERM	PERM	Dept. Policy
PLNG213	USE PERMITS Chron record of Use Permits	5	PERM	PERM	Dept. Policy
PLNG214	VARIANCE AND USE PERMITS [PRE-1961] One time permit - subject to Zoning Officer approval	5	PERM	PERM	Dept. Policy
PLNG215	ZONING ADJUSTMENTS BOARD - NOTICES OF DECISION From 1979-2004 Notices of Decision were maintained; after 2004, NODs were filed in the Zoning Record by property, see PLNG220	2	PERM	PERM	Dept. Policy
PLNG216	ZONING ADJUSTMENTS BOARD - CAPTIONER'S RECORD Records are maintained permanently as historical and legal references because some minutes are incomplete or nonexistent; see item PLNG215	2	PERM	PERM	Dept. Policy
PLNG217	ZONING ADJUSTMENTS BOARD - MINUTES *Retention Note: Minutes are retained indefinitely; beginning in 2004, minutes are filed with agenda packets	*2	PERM	PERM	GC 34090
PLNG218	ZONING ORDINANCE - TEXT CHANGES Changes in the Zoning Ordinance; 1948 to present	PERM	None	PERM	Dept. Policy
PLNG219	ZONING ORDINANCE 1949-1983 are located at the records center, all Zoning Ordinances after 1983 are located at the Zoning office	PERM	None	PERM	GC 34090
PLNG220	ZONING RECORD BY PROPERTY ADDRESS Complete zoning files by address, including UP, AUP, LPC, DRC, variances, subdivisions, condo conversions, etc.	5	PERM	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PLNG300	ADVANCE PLANNING				
PLNG301	GENERAL PLAN AND OTHER AREA PLANS Special and/or long-range program planning for coordination of services and strategic planning for the City. Includes the 1977 Master Plan, working files and adopted Area Plans amending the City's Master Plan. Upon Council adoption of any plan, working copies will be discarded, the official record is located in the City Clerk's Dept. as a permanent document	PERM	None	PERM	GC 34090, GC 65103, GC 50110, Dept. Policy
PLNG302	PLANNING COMMISSION – AGENDAS	5	PERM	PERM	Dept. Policy
PLNG303	PLANNING COMMISSION – MINUTES	5	PERM	PERM	Dept. Policy
PLNG304	CANNABIS COMMISSION – AGENDAS	5	PERM	PERM	Dept. Policy
PLNG305	CANNABIS COMMISSION – MINUTES / SUMMARIES	5	PERM	PERM	Dept. Policy
PLNG306	DESIGN REVIEW COMMITTEE – AGENDAS	5	PERM	PERM	Dept. Policy
PLNG307	DESIGN REVIEW COMMITTEE – MINUTES / SUMMARIES	5	PERM	PERM	Dept. Policy
PLNG308	AD HOC SUBCOMMITTEES – AGENDAS	5	PERM	PERM	Dept. Policy
PLNG309	AD HOC SUBCOMMITTEES – MINUTES / SUMMARIES	5	PERM	PERM	Dept. Policy
PLNG400	BUILDING AND SAFETY				
PLNG401	INSPECTION RECORD FOR ISSUED PERMITS Appointment list/call sheets for building inspectors. Retention Note: These records are not maintained because a permanent electronic record of inspections is maintained in the ACCELA and/or FUND\$ systems by permit number and address	None	None	None	Dept. Policy
PLNG403	PERMITS, CONSTRUCTION-ASSOCIATED DOCUMENTS, FINAL AFFADAVITS Retention note: Records kept in-office until final inspection, then retained digitally	PERM	None	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PLNG404	PLANS - BUILDING (CONSTRUCTION PLANS) All buildings of any construction type, excluding banks, financial institutions, and utility companies Retention note: Records kept in-office until final inspection, then retained digitally	PERM	None	PERM	H&S 19850 et seq and Dept. Policy
PLNG405	REPORTS WITH HOUSING DATA Census Bureau - report of new privately-owned residential building or zoning permits issued State Dept of Finance - Housing Unit Change form	PERM	None	PERM	Dept. Policy
PLNG406	PSC (PERMIT SERVICE CENTER) REGISTER RECEIPTS Register tapes, deposit slip copies, cash receipt reports, cash tally sheets, credit card slips	2	5	7	Dept. Policy
PLNG407	EXTERIOR ELEVATED ELEMENTS FORMS Inspection certification and exemption declaration forms *Retention note: paper submittals digitized for permanent retention	PERM	None	PERM	Dept. Policy
HOUS111	HOUSING CODE ENFORCEMENT - INSPECTION FILES	CL+3	4	CL+7	Dept. Policy
HOUS112	HOUSING CODE ENFORCEMENT - RHSP FORMS Submitted forms for schedule A/B	CL+1	6	CL+7	Dept. Policy
HOUS113	HOUSING CODE ENFORCEMENT - PROPERTY LIENS Back-up information for yearly liens	FYE+1	6	FYE+7	Dept. Policy
PLNG500	ENERGY AND SUSTAINABLE DEVELOPMENT				
PLNG501	MUNICIPAL ENERGY BILLING DATA FILES Energy use data for tracking and Greenhouse Gas (GHG) emissions reporting	PERM	None	PERM	Dept. Policy
PLNG502	PG&E INVOICES FOR GHG EMISSIONS	5	None	5	Dept. Policy
PLNG503	ENERGY CONTRACTS – DEPARTMENT COPY	AT+5	None	AT+5	Dept. Policy
PLNG506	BUILDING ENERGY SAVING ORDINANCE Compliance files	PERM	None	PERM	Dept. Policy
PLNG507	RESIDENTIAL EV CHARGING PROGRAM	PERM	None	PERM	Dept. Policy
PLNG600	TOXICS MANAGEMENT				
PLNG601	COMPLAINT FILES Citizen complaints regarding stormwater, lead, hazardous materials and emergency response	5	5	10	GC 34090

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PLNG602	CERTIFIED UNIFIED PROGRAM AGENCY (CUPA) Hazardous Material Disclosure, Hazardous Waste, Aboveground Storage Tanks files/records, reports, inspections and enforcement	3	None	3	Dept. Policy
PLNG603	PERSONNEL - TRAINING FILES CUPA programs/emergency response documentation of instruction and training	ACT	5	ACT+5	Dept. Policy
PLNG604	REMEDICATION Contaminated sites monitoring wells	CYE+5	PERM	PERM	Dept. Policy
PLNG605	UNDERGROUND STORAGE TANKS Plans, drawings, files and records	PERM	None	PERM	Dept. Policy

Retention Codes	
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City of Berkeley
 Records Management Program
 2180 Milvia Street
 Berkeley, CA 94704

RECORDS RETENTION SCHEDULE – POLICE

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
Andrew Greenwood	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
POL100	PROFESSIONAL STANDARDS DIVISION				
POL101	ACCREDITATION FILES 908 individual folders for each CALEA standard; files kept for duration of employees' service plus 5 yrs; personnel transactions are maintained by Human Resources	AT+5	None	AT+5	Dept. Policy, CALEA - Chapters 1-84
POL102	BERKELEY POLICE - TRAINING AND INFORMATION BULLETINS Written directives issued by Chief of Police detailing operational, technical, and procedural instructions and/or guidelines on specific subjects, one copy of rescinded and current bulletins are kept permanently for historical reference	PERM	None	PERM	Dept. Policy
POL103	GENERAL ORDERS/POLICE REGULATIONS Rules and regulations governing the Berkeley Police Department	PERM	None	PERM	Dept. Policy
POL104	PERSONNEL FILES				
POL104a	Personnel files, excluding non-sworn Parking personnel, of inactive Police employees, including personnel complaints - destroy 5 yrs. after termination from department, except for personnel who retired prior to 1975 (see POL104b)	AT+5	None	AT+5	GC 12946, PC 832.5(b)
POL104b	Personnel files for personnel who retired prior to 1975 must be maintained permanently due to former retirement system	PERM	None	PERM	Dept. Policy
POL200	OFFICE OF THE CHIEF				
POL201	INTERNAL AFFAIRS INVESTIGATIONS AND COMPLAINT INVESTIGATIONS	5	4	9	PC 832.5(b)

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
POL202	INTERNAL AFFAIRS' COMPLAINT FILE OF DEPARTMENT PERSONNEL Name file containing copies of complaints investigated against department personnel	5	None	5	PC 832.5(b), PC 832.7, PC 832.8
POL300	INVESTIGATIONS DIVISION - SPECIAL ENFORCEMENT				
POL301	CONFIDENTIAL INVESTIGATIONS	CL+2	PERM	PERM	Dept. Policy
POL400	SUPPORT SERVICES				
POL406	DAILY BULLETIN File log of every police call for service	5	PERM	PERM	Dept. Policy
POL407	FINGERPRINT FILE Original fingerprint cards and inked palm cards *Retention Note: Records are purged upon death of subject or age 80	*	None	*	Dept. Policy
POL408	MARIJUANA ARRESTS Records of marijuana arrests *Retention Note: Beginning 2011, records are in Police database	2	None	2	GC 34090
POL409	POLICE REPORT FILES Official criminal offense investigative reports, accident reports, non-criminal, and miscellaneous *Retention Note: Prior to 1996 and 2011 to current, all report files are kept PERM in police database	PERM	None	PERM	Dept. Policy
POL410	RECORD SEALING - NON-FACTUAL INNOCENCE Arrest records and narrative reports. In cases where charges are dropped because victim fails to show up, or the accused pleads "nolo" and gets a reduced sentence *Retention Note: Records may be expunged before 3 years by court order	*3	None	3	Dept. Policy
POL411	RECORD SEALING - INNOCENT BY TRIAL Arrest records and narrative reports. In cases where the accused is tried in court and the court determines the accused is innocent, which means the accused is factually innocent	3	None	3	PC 851.8
POL500	SUPPORT SERVICES - COMMUNICATIONS CENTER				
POL501	TELECOMMUNICATION LOG Log documenting computer requests	1	3	4	Dept. Policy
POL502	TOWED VEHICLE FILES Notification letters, receipt of release for towed/stored vehicles *Retention Note: Beginning 2/2017, stored in in police database	1	3	4	GC 34090, GC 14755(a) & (b)

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POL600	SUPPORT SERVICES - CITY JAIL OPERATIONS				
POL601	BOOKING JACKET-DETAINEE JACKET Detainee Confinement form, consolidated arrest report, property receipt, may include upgraded strip search forms, Field Investigation Card, Warrants, and misc. *Retention note: Beginning 2016, records stored electronically	1	6	7	Dept. Policy
POL602	LIVE SCAN APPLICANTS	6 months	1 ½	2	Dept. Policy
POL603	JAIL SUPERVISOR LOGS Logs documenting observations and unique requirements of prisoners as well as any facility abnormalities *Retention Note: Beginning 2016, records stored electronically	6 months	2	2 ½	Dept. Policy
POL604	REGISTRANT FORMS Sex, arson, drugs, gangs *Retention Note: Beginning 2017, records stored electronically	1	1	2	Dept. Policy
POL700	INVESTIGATIONS- DETECTIVE BUREAU/CRIME SCENE UNIT				
POL701	CRIME REPORTS - AUTO THEFT INVESTIGATIONS Police reports, stolen vehicle system entries and cancellations, I.D. reports, photographs, supporting documentation	4	None	4	DOJ Criminal Justice Info. Systems Users Man. Sec. 2.1 & Sec. 1.2.1
POL702	CRIME REPORTS - INVESTIGATIONS - FRAUD Police reports concerning embezzlements, checks, credit cards, and purse and wallet thefts	4	None	4	Dept. Policy
POL703	CRIME REPORTS - JUVENILE INVESTIGATIONS Paperwork involving assistance in juvenile investigations	5	None	5	Dept. Policy
POL704	CRIME REPORTS - INVESTIGATIONS - HOMICIDE Police reports involving homicides, assaults, missing persons, dead bodies, suicide; homicide files are permanent	CL+3	PERM	PERM	Dept. Policy
POL705	CRIME REPORTS - INVESTIGATIONS - PROPERTY CRIMES Police reports concerning burglaries, arson, grand thefts	2	None	2	Dept. Policy
POL706	CRIME REPORTS - INVESTIGATIONS - ROBBERY Police reports concerning robberies, purse snatches, weapons, guns	3	None	3	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
POL707	CRIME REPORTS - INVESTIGATIONS - SEXUAL ASSAULT Police reports concerning sexual assaults, sex registrants, indecent exposure cases, obscene/annoying phone calls, domestic violence cases Retention Note: Records are not part of Police report. Used to monitor repeat offenders	6	32	38	PC 680(e)(2)
POL708	PHOTOGRAPHIC NEGATIVES Photographic negatives taken of crime scene and accident investigations. Includes inmate photographs	5	50	55	Dept. Policy
POL709	PHOTOGRAPHS AND PHOTOGRAPHIC NEGATIVES - NON CASE-RELATED Public relations, promotions, events, ceremonies, staff photos	CYE+5	15	CYE+20	Dept. Policy
POL710	PHOTOGRAPHIC/NEGATIVE LOG Paper and database log of photos taken	PERM	None	PERM	Dept. Policy
POL800	SUPPORT SERVICES - WARRANT DETAIL				
POL801	WARRANT FILES Copies of original warrants, warrant service cards, and warrant tracking information	1	6	7	Dept. Policy
POL802	CONSOLIDATED ARREST REPORTS - CARS	CYE+2	5	CYE+7	Dept. Policy
POL900	INVESTIGATIONS - SPECIAL VICTIMS				
POL901	JUVENILE FIRST OFFENDER RECORDS Record of juveniles who have committed one misdemeanor offense and are tracked for a two-year period. If no other offenses are committed within the two-year period, their record is purged	2	None	2	51,118 N.S., Dept. Policy
POL902	SEALED JUVENILE RECORDS Prior arrest record sealed by court order	5	None	5	378 with Court Order
POL1000	INVESTIGATIONS - TRAFFIC/PARKING				
POL1001	ACCIDENT RECORDS	CL+2	None	CL+2	GC 34090
POL1002	CITATION - MONTHLY SUMMARY Recap of number of tickets issued in a particular month	2	None	2	GC 34090
POL1003	CITATIONS - VOID Parking tickets issued in error or incorrectly	30 days	None	30 days	Dept. Policy
POL1004	SAFETY MEETING REPORTS Monthly record of personal/vehicular accidents	2	None	2	GC 34090
POL1005	TICKET COUNTER SHEET Used to record start/end numbers of tickets used	2	None	2	GC 34090

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POL1006	TRANSIENT PARKING TICKETS Tickets for violations in parking garages	2	None	2	GC 34090
POL1100	OPERATIONS – COMMUNITY SERVICES				
POL1101	BUSINESS WATCH Record of Business Group containing names, addresses, phone numbers, and pertinent information about their area of concern	PERM	None	PERM	Dept. Policy
POL1102	CITIZEN VISITS Record of citizens participating in Ride-A-Long programs and other visitation	2	None	2	GC 34090 Dept. Policy
POL1103	MONTHLY STATISTICS Monthly record of CSB activity	2	None	2	GC 34090 Dept. Policy
POL1104	NEIGHBORHOOD WATCH Records of neighborhood watch groups, containing names, addresses, and particular concerns	5	None	5	Dept. Policy
POL1105	SECURITY CHECKS Record receipt of homes and businesses surveyed to indicate areas to improve or repair to prevent burglaries and other crime	2	None	2	GC 34090 Dept. Policy

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RECORDS RETENTION SCHEDULE – PUBLIC WORKS

DEPARTMENT DIRECTOR	CITY ATTORNEY	CITY CLERK
/s/	/s/	/s/
Phillip Harrington	Jerome Mayer-Cantu	Mark Numainville

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PWKS100	ADMINISTRATION				
PWKS101	BUDGET ADJUSTMENTS	2	None	2	GC 34090
PWKS102	BUDGET PERFORMANCE REPORT (BPR) Monthly financial budget report	1	None	1	Dept. Policy
PWKS103	BUDGET WORK PAPERS Budget information for past projected budgets	3	2	5	Dept. Policy
PWKS105	EXPENSE STATEMENTS Travel expenses	3	2	5	Dept. Policy
PWKS106	PAYROLL INFORMATION BY PAY PERIOD Computer generated timesheets, time cards, budget code changes, and sick leave reports	1	9	10	Dept. Policy
PWKS107	HISTORICAL FILES Studies and reports relating to the City's infrastructure. Records that no longer have reference or operational value may be reviewed for a gift of deed to a local historical institution for preservation	15	PERM	PERM	Dept. Policy
PWKS403	VEHICLE REPLACEMENT	5	None	5	Dept. Policy
PWKS808	PRE AND POSTTRIP REPORTS Commercial vehicles	2	None	2	GC 34090, Federal Motor Carrier Act
PWKS906	SAFETY DATA SHEETS	5	PERM	PERM	Cal OSHA
PWKS200	CAPITAL IMPROVEMENTS				
PWKS201	CAPITAL IMPROVEMENTS - PROJECT FILES Documents that support process and progress of project to completion; including bidders list, specifications, reports, plans, work orders, schedules, ordinances and resolutions, board and commission minutes, weekly project minutes, etc.	CL+2	PERM	PERM	CCP 337.15

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PWKS202	CAPITAL IMPROVEMENTS - CONSTRUCTION FILES Planning, design, construction, conversion or modification of City-owned facilities, structures and systems	CL+2	PERM	PERM	GC 34090, GC 4004, H&S 19850
PWKS203	CAPITAL IMPROVEMENTS - AGREEMENTS	CL+3	PERM	PERM	GC 34090, GC 4004, H&S 19850
PWKS300	ENGINEERING				
PWKS301	ENGINEER'S REPORTS Streetlighting, underground assessment districts and other types of projects	10	PERM	PERM	Dept. Policy
PWKS302	CAPITAL IMPROVEMENT PROGRAM PROJECT FILES-PLANS, SPECIFICATIONS AND REPORTS (AND FOR FACILITIES PROGRAM ONLY: SUBMITTALS, O&M MANUALS, WARRANTIES, ETC.) Plans, specifications and reports, including but not limited to project survey files, environmental impact reports, geotechnical reports, basis of design reports and feasibility studies for storm, streets sewer, sidewalk, facilities and other infrastructure capital projects	CL+2	PERM	PERM	Dept. Policy
PWKS303	PROJECT FILES - ALL OTHER DOCUMENTS All other documents (excluding PWKS 302) supporting progress of project from inception to completion, including but not limited to meeting minutes, consultant scope of work, engineers list, bidders list, change orders, progress payments, inspection logs, etc.	Non-Grant-funded: CL+2 Grant-funded: CL+7	None	Non-Grant-funded: CL+2 Grant-funded: CL+7	Dept. Policy
PWKS304	EASEMENTS AND ABANDONMENTS Legal easements and abandonments across all infrastructure programs including storm, streets, sewer, sidewalk, facilities, and other infrastructure capital projects	5	PERM	PERM	GC 34090
PWKS305	SURVEYING FILES Monument records	5	PERM	PERM	Dept. Policy
PWKS306	ENGINEERING PERMITS Permits for work in the public right of way, including but not limited to, permits to excavate by utilities and others, sidewalk construction, no parking sign permits, etc.	5	PERM	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PWKS307	ENCROACHMENT PERMITS Encroachment permits in the public right of way, including but not limited to, fences, walls, café seating, parklets, balcony overhangs, etc.	5	PERM	PERM	Dept. Policy
PWKS308	UTILITY, TRANSPORTATION AND OTHER AGENCY AGREEMENTS AND FILES Franchise agreements and correspondence dealing with utility and transportation issues and agencies. Other interagency agreements	5	PERM	PERM	Dept. Policy
PWKS309	REGULATORY FILES Documents for regulatory compliance including annual and other reports, etc.	5	PERM	PERM	Dept. Policy
PWKS310	SEWER LATERAL CERTIFICATE Certificate and documents for complying with BMC 17.24. May include notice of deficiency, permit documents, review form, CCTV report, enforcement letter, job card, application	3	17	20	BMC 17.24; Dept. Policy
PWKS 311	SURVEYING FILES Notes, monument records, etc.	5	PERM	PERM	Dept. Policy
PWKS400	EQUIPMENT MAINTENANCE				
PWKS404	VEHICLE FILE Registration and purchase documents; Includes disposed vehicles	PERM	None	PERM	Dept. Policy
PWKS500	FACILITIES ELECTRICAL				
PWKS504	ELECTRICAL DIVISION WORK ORDERS Work orders for all problems called in to Electrical to be repaired/installed	CYE+2	None	CYE+2	GC 34090
PWKS505	EMERGENCY GENERATOR TEST Marina lift stations, lift station test log book	3	None	3	BAAQMD Regulation
PWKS508	RADIO MAINTENANCE RECORDS Maintenance records of mobile and dash-mounted radios	5	None	5	Dept. Policy
PWKS509	UNDERGROUND UTILITY DISTRICTS Established Underground Utility Districts in Berkeley - background files. Resolution and report to Council filed in City Clerk Dept.	10	None	10	Dept. Policy
PWKS600	FACILITIES MAINTENANCE				
PWKS501	BMD MAINTENANCE REQUESTS Work orders for all maintenance repairs done by Building Maintenance Division	CYE+2	None	CYE+2	GC 34090
PWKS602	SAFETY TAILGATE DOCUMENTS Signatures of crew and safety subjects	25	PERM	PERM	Dept. Policy
PWKS603	ELEVATOR CERTIFICATIONS	US	None	US	Dept. Policy
PWKS604	FIRE SUPPRESSING SYSTEMS	US	None	US	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PWKS605	REPAIR AND MAINTENANCE OF FIRE EXTINGUISHERS	US	None	US	Dept. Policy
PWKS700	PROPERTY MANAGEMENT				
PWKS701	LEASES	CY	PERM	PERM	Dept. Policy
PWKS702	APPRAISALS	AV	PERM	PERM	Dept. Policy
PWKS800	ZERO WASTE				
PWKS804	SELF RECORDING WEIGHT SLIP City vehicles only	2	None	2	Dept. Policy
PWKS806	LANDFILL TICKET RECEIPTS AND LOG	5	None	5	Dept. Policy
PWKS807	MONTHLY TRANSFER STATION REPORTS Treasury receipts, computer reports, cash reports, register receipts	5	None	5	Dept. Policy
PWKS809	TRANSFER STATION OPERATIONS	5	None	5	Dept. Policy
PWKS810	TRANSFER STATION INVOICES Receipts and log	2	None	2	Dept. Policy
PWKS900	STREETS AND UTILITIES				
PWKS904	CLEAN CITIES Includes mechanical sweeper record	3	None	3	Dept. Policy
PWKS907	STREET MAINTENANCE INCLUDING SIDEWALK AND POTHOLE REPAIR Requests for sidewalk repair and work orders	3	2	5	Dept. Policy
PWKS909	STORM MAINTENANCE	3	None	3	Dept. Policy
PWKS1000	TRANSPORTATION				
PWKS910	TRAFFIC MAINTENANCE WORK ORDERS Generated by Traffic Engineering or public	3	2	5	Dept. Policy
PWKS911	METER MAINTENANCE	2	None	2	Dept. Policy
PWKS1001	AREA PLANS BIKE PLAN, PEDESTRIAN PLAN, E.G. Become amendments to the 1977 City Master Plan or General Plan. When a plan is adopted, the official record in the City Clerk Dept. becomes permanent and division working files are discarded	PERM	None	PERM	GC 34090, GC 65103, GC 50110
PWKS1002	TRANSIT SUBSIDY LISTS Forms completed by employees to obtain Ecopass transit subsidy	5	None	5	Dept. Policy
PWKS1003	TRAFFIC ENGINEER WORK ORDERS				
PWKS1003a	CURB PAINTING Location and specifications of parking restrictions	PERM	None	PERM	Dept. Policy
PWKS1003b	PAVEMENT MARKINGS Location and specifications for traffic control striping and legends	PERM	None	PERM	Dept. Policy

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PWKS1003c	SIGN LOCATION FILES Location and specifications of traffic signs	PERM	None	PERM	Dept. Policy
PWKS1003d	RED CURB PERMITS Legacy files of permits that were issued to homeowners	PERM	None	PERM	Dept. Policy
PWKS1004	SIGNAL PRIORITY RATING Numerical rating of City street intersections	20	None	20	Dept. Policy
PWKS1005	SPEED STUDIES Radar speed studies	5	None	5	Dept. Policy
PWKS1006	TRAFFIC VOLUME COUNTS Traffic count on City streets	15	None	15	Dept. Policy
PWKS1007	AREA TRAFFIC MANAGEMENT Studies, reports, surveys (Neighborhood Traffic Management Plans)	5	5	10	Dept. Policy
PWKS1008	ACTIVITY REPORTS				
PWKS1008a	GARAGE ACTIVITY REPORTS Daily reconciliation reports, ticket batches, accounting of money City-owned garages recover on a daily basis	FYE+2	5	FYE+7	Dept. Policy
PWKS1008b	METER ACTIVITY REPORTS Daily meter revenue reports: coin counting receipts, meter tags, coin room weight tags, batch reports by date/area. Reconciliation or records from IPS, Brinks, Bank, Coin Room and staff; discrepancy reports	FYE+2	5	FYE+7	Dept. Policy
PWKS1009	CASH RECEIPTS/EDIT LISTINGS & SALES RECEIPT DOCUMENTATION Deposit log documentation includes Permits issued (Block Party, Oversize Load), and Plan Reviews	2	5	7	Dept. Policy
PWKS1010	TRAFFIC IMPACT STUDIES Incorporated into EIR; Planning maintains with CEQA Study/Report	CL+2	None	CL+2	GC 34090
PWKS1100	ENVIRONMENTAL COMPLIANCE				
PWKS1101	MONTHLY DESIGNATED OPERATOR INSPECTION	1	3	4	CCR 23 Div 3 Ch. 6
PWKS1102	UNDERGROUND STORAGE TANKS Annual monitoring equipment certification, leak detection maintenance, tank and line tests	3	3	6	CCR 23 Div 3 Ch. 6
PWKS1103	UNDERGROUND STORAGE TANKS Written performance claims, calibration/maintenance records, permit to operate	5	3	8	CCR 23 Div 3 Ch. 6
PWKS1104	UNDERGROUND STORAGE TANKS Repairs/upgrades, as-built diagrams, financial responsibility, closure report/notice	PERM	None	PERM	CA Health & Safety Code Ch. 6.7

R/S ITEM NO.	RECORD SERIES TITLE/SUBTITLE AND DESCRIPTION (IF APPLICABLE)	RETAIN IN OFFICE	STORAGE	DESTROY	STATUTORY REFERENCE
PWKS1106	HAZARDOUS WASTE MANIFESTS	3	PERM	PERM	Title 22 Ch. 12 Ar. 4
PWKS1107	HAZARDOUS WASTE STORAGE AREA INSPECTIONS	3	3	6	CA Health & Safety Code Ch. 6.5 Ar. 8
PWKS1108	TRAINING RECORDS	AT+3	None	AT+3	40 C.F.R. section 262.34(d)(5)(iii)
PWKS1109	NON POINT DISCHARGE ELIMINATION SYSTEM PERMIT/STORMWATER Sampling, records, compliance, monthly inspections, Storm Water Pollution Prevention Plan and updates	US	3	US+3	State Water Resource Control Board Order 97-03-DWQ
PWKS1110	HAZARDOUS MATERIALS INCIDENT	PERM	None	PERM	Dept. Policy
PWKS1112	BAY AREA AIR QUALITY MANAGEMENT DISTRICT (BAAQMD) Permit to operate	US	3	US+3	BAAQMD Regulation 8 Rule 7
PWKS1113	EAST BAY MUNICIPAL UTILITY DISTRICT (EBMUD) Permits, monitoring, discharge reports, relevant correspondence	3	3	6	EBMUD Ordinance No. 311A-03
PWKS1114	WASTE TIRE MANIFEST RECORDS	3	None	3	Title 14 CCR Section 18459.3

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