

City of San Dimas
Records Retention Schedule

| <u>ACRONYMS USED IN LEGAL CITATIONS</u> | | | | | | | | | | | | | |
|---|--|------------------------------------|--|---|--|--|--|---|--|--|--|--|--|
| AC = While Active M = Month | | CU = Current Year MA = Maturity | | CL = Closed MAINT = Maintain Records | | D = Day FR = Final Resolution PR = Permanent | | LA = Limitation on Action S = Superseded | | LI = Life (of program, asset) T = Termination Y = Year | | | |
| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 001 | Agreements, Contracts and Leases - Construction, Improvements to Real Property and City Facilities and Infrastructure Executed agreements and contracts for construction and/or improvements to the City's real property and facilities. | | Addendums and Amendments Attachments / Exhibits Bids, Awards (<i>including responses to RFPs, RFQs, and RFBs, evaluation sheets, quotations</i>) Bonds Certificates of Insurance and Endorsements Change Orders Construction Drawings Construction Notices (<i>including notices of award, notices of completion, etc.</i>) Disclosures Exhibits Letters of Intent Memoranda of Agreement (MOAs) Preliminary Notices (from third-party subcontractors) Price Lists Professional Services Agreements Proposals, Quotations Proof of Insurance Certificates Purchase Orders Receiving Reports Requisitions Specifications Statements of Work (SOWs) Successful Requests for Proposal (RFP) Warranties | | | All Departments | | Permanent | | CA - CCP 315 - (LA10Y) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090(a) - (PR) US - 2 CFR 200.334 - (CL+3Y) US - 48 CFR 4.705-3(h) - (4Y) | | | |
| 002 | Agreements, Contracts and Leases - Goods and Services Executed agreements and contracts for goods and services (which includes all types of contracts, such as an agreement, franchise, lease, JPA, MOA, MOU and associated ancillary documents, between the City and other parties. | | Addendums and Amendments Attachments / Exhibits Bids, Awards (<i>including responses to RFPs, RFQs, and RFBs, evaluation sheets, quotations</i>) Bonds Certificates of Insurance and Endorsements Change Orders Compliance with City Purchasing Requirements Disclosures Exhibits Franchises Letters/Notices of Intent Price Lists Proposals, Quotations Purchase Orders Receiving Reports Requisitions Specifications Statements of Work (SOWs) Successful Requests for Proposal (RFP) Warranties | | | All Departments | | While Active+4Y | | CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 29 CFR 516.5 - (3Y) US - 48 CFR 4.705-1(b) - (4Y) US - 48 CFR 4.705-3(f) - (4Y) | | | |

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| T = Termination | | Y = Year | | | | | |
| Record No. | Record Name and Description | | Example Records | | Responsible Department(s) | Retention | Legal Citations and Comments |
| 003 | Community Assistance, Engagement, Outreach and Public Relations Records and information regarding external-facing services, communications, advertising and press relations materials, including documentation of outreach activities/events held in cooperation or for the benefit of City staff and for the local community. | | Applications Brochures, Flyers Community Event and Services Records Community Meeting Documents (<i>agendas, minutes, correspondence</i>) FAQs Informational Handouts Media Packets Newsletters PowerPoint Presentations Press Releases Public / Media Inquiries Public Information / Outreach / Education Public Surveys Publicity Files Registrations Sign-in Sheets Sister City Program(s) Social Media Documentation Speeches Tours Training Offered to the Public (e.g., <i>fire extinguisher use</i>) | | All Departments | 4Y | CA - CCP 337 - (LA4Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) |
| 004 | Compliance and Regulatory Reporting Official non-financial reports issued by City organizations to comply with regulatory requirements. | | AB-939 Reports Annual Asbestos Notification Annual Reports (e.g., <i>Housing Element Progress to HCD</i>) CUPA Self-Audit Documentation EEO-4 Reports IRS Form 1095-C Labor Reports OSHA 300 Reports Reports to Regulatory Agencies Violence Incident Logs | | All Departments | 6Y | CA - 2 CCR 11013(c)(1) - (4Y) CA - 8 CCR 14300.33(a) - (CU+5Y) CA - GOV 34090 - (2Y) CA - LAB 6401.9 - (5Y) US - 26 CFR 31.6001-1(e)(2) - (CU+4Y) US - 29 CFR 405.9 - (5Y) US - 29 CFR 1602.14 - (AC+1Y) US - 29 CFR 1602.30 - (3Y) US - 29 CFR 1904.33 - (CU+5Y) |
| 005 | Department Administration General internal administrative records of City departments, including: - General correspondence, memos, notes and emails that do not require acknowledgment and do not pertain to another category - Documentation of department internal activities - Routine department reports - Information captured on a log or a list - Special projects - Unsuccessful applications, including those for grant funding - Bid rejections | | Ad Hoc Committees and Subcommittees Constituent Correspondence Department Administrative Documents (<i>budgets, budget memos, calendars, committees, goals, objectives, meeting agendas, meeting minutes, meeting tapes/recording, plans, spreadsheets</i>) Department Awards and/or Community Accolades Department Generated Routine Studies / Reports Department Project Files Employee Communication Letters (<i>announcements, new programs, notices</i>) Fuel Card Authorizations Gifts Received by the City Internal Committees / Employee Committees Letters Signed by City Officials Logs and Lists (e.g., <i>work, scheduling, emergency contacts</i>) Organization Charts Photos of Department Events Routine Correspondence Safety Team Meeting Minutes Unsuccessful Grant Funding Applications | | All Departments | While Active+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 006 | Emergency Management All documentation for dealing with preparation for and responses to emergencies, disasters and/or system failures for City facilities. Includes the Emergency Operations Center. | | Business Continuity Plans Business Response Plans (<i>hazardous materials, hazardous waste, hazardous spills</i>) Emergency Communication Disaster Recovery Plan Disaster Service Worker Records Drill Records and Employee Training Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Operation Plans Emergency Preparedness Evacuation Procedures Hazard/Risk Mitigation Plans (<i>Cal-Arp, etc.</i>) | | | All Departments | | While Active+2Y | | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) | | | |
| 007 | Grants and External Funding Sources Documents the application, evaluation, awarding, administration, monitoring, reporting, and status of grants and other funding sources in which the City is the recipient, grantor, allocator, or administrator, other than HUD grants (for HUD grants see 065). Includes: - Community Grants - Combined Federal, State, Local Grants - Federal Grants - Local Grants - State Grants | | Applications (<i>including project proposals</i>) Audits Award Notification Funding Requests Grant Administration Grant Evaluations Grant Funding Grant Reconciliation Reports Grant Reimbursement Documents Monitoring Visit Letters (<i>and related correspondence</i>) Payroll (<i>certified, Davis Bacon</i>) Program Rules, Regulations, Procedures Reports to Funding Agencies Required Financial Reports (e.g., SF-425) Semi-annual Labor Reports | | | All Departments | | While Active+7Y | | CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) CA - Office of Emergency Services 2025/2026 Subrecipient Handbook §12015 - (AC+7Y) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 570.502(a)(7)(i)(A) - (AC+4Y) Unsuccessful applications are retained for 2 years. NOTE: If a grant requires longer retention, its specific requirements will take precedence. | | | |
| 008 | Legal Advice and Opinions Official written legal advice and/or opinions prepared by the City Attorney. | | Amicus Briefs Attorney Opinions Legal Memorandum | | | All Departments | | While Active+2Y | | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) | | | |
| 009 | Legislative and Advisory Body Records Records of all action taken by City legislative and advisory bodies taken during public and closed sessions meetings, including those subject to the rules of the Brown Act. Such bodies include: - Ad Hoc Committees - City Council - Development Plan Review Board - Equestrian Commission - Golf Course Advisory Committee - Parks and Recreation Commission - Planning Commission - Public Safety Commission - San Dimas Housing Authority - San Dimas Public Facilities Financing Authority - Senior Citizens Commission - Successor Agency to the SDRA - Traffic Safety and Traffic Improvements Committee | | Agendas Annual Reports Bylaws City Codes City-wide Plans/Programs Adopted Formation Documents Meeting Minutes Minute Books & Index Minute Resolutions Municipal Code and Code Supplements Notices of Cancellation/Adjournment Oaths of Office Ordinances Resolutions | | | All Departments | | Permanent | | CA - GOV 34090(e) - (PR) | | | |

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| Record No. | Record Name and Description | Example Records | | Responsible Department(s) | Retention | Legal Citations and Comments |
| 010 | Legislative Records - Audio/Video Records Audio and Video Recordings of City legislative bodies subject to the Brown Act, including: - Ad Hoc Committees - City Council - Development Plan Review Board - Equestrian Commission - Golf Course Advisory Committee - Parks and Recreation Commission - Planning Commission - Public Safety Commission - Senior Citizens Commission - Traffic Safety Committee | Audio and Video Recordings | | All Departments | 1Y | CA - GOV 54953.5(b) - (30D) |
| 011 | Personnel Records - Volunteers and Unpaid Interns All documents related to unpaid volunteers and interns including but not limited to: - recruitment - selection - assignments - separation / discharge / resignation | Applications (selected, rejected) Awards, Commendations, Certificates Evaluations Recognition Volunteer Acknowledgements, Waivers, Executed Policy Receipts | | All Departments | While Active+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |
| 012 | Policies and Procedures All administrative documentation of City policies and procedures. | Acronyms Administrative Policies Administrative Regulations Directives (<i>including City Manager memos</i>) General Orders Guidelines Handbooks Policies Procedure Manuals Procedures Program / Initiative Plans Standards | | All Departments | While Active+4Y | CA - CCP 337 - (LA4Y) CA - GOV 34090 - (2Y) |
| 013 | Procurement - RFP, RFQ, RFI, Bids Not Awarded Records and information received in response to the City's requisitioning of goods, services, or real property, but where the purchase order, contract, or agreement was not awarded. | Bids (<i>unaccepted, rejected</i>) Contest Letters Exhibits Price Lists Quotations Requisitions Scorecards Specifications Unsuccessful Invitation for Bids (IFB) Unsuccessful Requests for Information (RFI) Unsuccessful Requests for Proposal (RFP) Unsuccessful Requests for Quote (RFQ) | | All Departments | While Active+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |

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| Record No. | Record Name and Description | Example Records | Responsible Department(s) | Retention | Legal Citations and Comments |
| 014 | Public Notices Records documenting compliance with laws requiring public notice of government activities, excluding agendas and legislative body-related documents. Subjects may include assessments, elections, land use changes, public meetings and hearings, sale of property, and others. | Affidavits of Mailing Affidavits of Posting Affidavits of Publication/Legal Notices Escheatment Notices/Unclaimed Money, Financial Transactions Maddy Act Lists and Notices Mailing Lists Public Hearing Notices Public Meeting Notices Publication Documents Reports Vacancy Notices | All Departments | While Active+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |
| 015 | Service Requests, Issues, and Complaints Documentation regarding complaints and requests for service received by City departments. | Complaints and Inquiries and Related Correspondence Follow-up Investigations Issues Log Trouble Reports Work Orders | All Departments | 2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |
| 016 | Strategic, Budget and Financial Planning Records and information relating to strategic and financial planning and to City budgets. | Budget Planning Documents Budget Presentations Business Plans Consolidated Action Plans Financial Plans Five-Year Capital Improvement Plans Forecasts Minimum Wage Rate Bulletins Municipal Fee Schedules Program / Initiative Plans Revenue/Expenditure Reports Strategic Plans Ten-year Forecasts | All Departments | 2Y | CA - GOV 34090 - (2Y) |
| 017 | Election Records - Administrative Files Documentation of the administration of City elections as well as the submission and processing of initiatives, referenda, recalls, or ballot measures, excluding petitions. | Ballot Measure (<i>arguments for/against, full text, rebuttals, impartial analyses</i>) Calendar of Appointments Certificates of Election Certified Election Results City Attorney Opinion Election Bulletins Election Notices Election Results Research Notes | City Clerk | 4Y | CA - GOV 34090 - (2Y) CA - GOV 81009(f) - (4Y) |
| 018 | Election Records - Candidates Not Elected Campaign statements and election documentation for candidates who are not elected. | Campaign Disclosures Campaign Statements Nomination Papers | City Clerk | 5Y | CA - ELEC 17100(a) - (4Y) CA - GOV 81009(b) - (5Y) CA - GOV 84616(b) - (4Y) |
| 019 | Election Records - Officeholders and Candidates Elected Campaign statements and election documentation for candidates who are elected or appointed to City offices and officeholders. | Campaign Disclosures Campaign Statements Nomination Papers | City Clerk | Permanent | CA - ELEC 17100(a) - (Term of Office+4Y) CA - GOV 81009(b) - (PR) |

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| 020 | FPPC Forms - Mandated Reporting Forms mandated by state law related to conflict of interest, receipt and redistribution of gifts and honoraria, ceremonial roles, and holding of multiple positions for certain employees, elected or appointed officials, or consultants. | Form 700 Form 801 Form 802 Form 803 Form 804 Form 805 Form 806 | | City Clerk | 7Y | CA - GOV 81009(e) - (7Y) |
| 021 | Historical Documents, Events, and Collections Records and information documenting the history and significant milestones of the City. | Awards to the City Biographies of City Officials Census Information City Seal and Logo City Incorporation City Publications City-Owned Property Records Elections (<i>historic, significant</i>) Executive, City Official Communications, Speeches, Videos Historic Districts Historical Events, Artifacts, Architecture, Designations, Projects History of Elected Officials Memorial Programs Photo Collections Significant News Clippings, Releases | | City Clerk | Permanent* | CA - GOV 34090 - (2Y) *Note: Only those records determined to have significant and ongoing long-term usefulness and value to the City will be designated as historical or archival. |
| 022 | Public Information Requests Records requested by the public, required for provision to the public, and related inquiries. | Collection Lists Formal Public Records Requests Inquiries Local Appointments List (Maddy Act) Subpoenas duces tecum Subpoenas for Records (other than for City legal actions) | | City Clerk | While Active+2Y | CA - GOV 34090 - (2Y) |
| 023 | Recorded Documents Records and information pertaining to those original key documents recorded by the County on behalf of the City. | Abandonments Address Records Annexations Certificate of Correction Conveyances from the City (<i>deeds, easements, abandonments/vacations</i>) Conveyances to the City (<i>deeds, easements, dedications</i>) Deeds Detachments Easements (<i>emergency vehicle access easement, sidewalk easement, street light electric easement, underground electric easement, water utility easement</i>) Grant Deeds Irrevocable Offers to Dedicate Liens Rights-of-Way Vacations | | City Clerk | Permanent | CA - CCP 337.15 - (LA10Y) CA - GOV 34090(a) - (PR) |

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| Record No. | Record Name and Description | Example Records | Responsible Department(s) | Retention | Legal Citations and Comments |
| 024 | Records, Information Management Documentation of the compliance with Records and Information Management policy and procedures. | Certificates of Destruction Inactive Records Storage Information Lists of Stored / Destroyed Records Records Transfers (<i>to storage, to other depts.</i>) | City Clerk | 10Y | CA - CCP 315 - (LA10Y) CA - CCP 337 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) |
| 025 | Settlement Agreements Records and information regarding the final settlement in an action between the City and another party. | Agreement Court Rulings/Decisions | City Clerk | Permanent | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) |
| 026 | Administrative Citation Appeals Records Records and information resulting from oversight of appeals to administrative citations, regardless of which City department or other local agency originally issued the appeal. | Appeal Forms Department Responses Evidence Final Decision Statements Hearings Supporting Documents | City Clerk Community Development | Current Year+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - PEN 802(a) - (LA1Y) |
| 027 | Code Compliance and Enforcement Records and information documenting compliance with City codes, including such issues as: - Abandoned shopping carts - Graffiti - Home occupations - Illegal dumping - Prohibited signage - Property maintenance - Vacant/abandoned buildings - Vehicle related, e.g., abandoned, parking - Weed abatement - Yard/garage sales | Administrative Citations Administrative Enforcement Orders Administrative Hearings Audio Recordings of Hearings Case Files Certificates of Nuisance and Abatement Citations (and related documents) Code Files Compliance with Conditions of Approval Customer Services Requests (CRMs) Determination Letters Inspections / Enforcement (business, residential) Investigations Liens and Releases Notices of Noncompliance Notices of Violation Parking Citations Photographs Related Correspondence Violations | City Clerk Community Development | Closed+2Y | CA - CCP 329 - (LA2Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - PEN 802(a) - (1Y) NOTE: Records for repeat offenders may be retained longer to document a history of violations |
| 028 | Audits - Internal, External and Administration Records and information related to both internal and external audits of City activities and administration of auditing activities, including reviewing and documenting operational, compliance, or financial information created as a part of an audit. | Annual Audit Reports Audit Files, Plans Audit Schedules Audit Workpapers Auditors Reports General Purpose Financial Audits, Single Audits Management Responses Responses | City Clerk Community Development Finance | 6Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001-1(e)(2) - (CU+4Y) US - 26 USC 6531 - (LA6Y) |

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| Record No. | | Record Name and Description | Example Records | Responsible Department(s) | Retention |
| 029 | Appointments to Boards and Commissions Staff records related to appointments and membership made by authorized elected officials to councils, committees, boards, and commissions. | Applications (<i>appointed, unsuccessful</i>) Interview Notes Letters of Appointment Letters of Non-Appointment Letters of Recommendation Oaths of Office Resumes | City Clerk Community Development Parks & Recreation | Term of Office+2Y | CA - GOV 34090 - (2Y) |
| 030 | Legislative Administrative Records Administrative documents associated with meetings and activities of the City's legislative bodies, as well as documentation of non-legislative commissions, committees and task forces. | Activity Reports Agenda Packets Annual Administrative Reports Appeals to Council Attachments to Staff Reports Ceremonial Requests Commendations Conference Documentation Contact Lists General Correspondence Memos to Council Presentations Proclamations Public Comments Resignation Letters Rosters Staff Reports Trainings Certificates | City Clerk Community Development Parks & Recreation | 2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |
| 031 | Insurance Claims by the City Records detailing claims lodged by the City for damages to City property. | Accident/Incident Reports Actuarial Reports Annual Audit of Open Claims Appraisals Claims By the City Closing Letters Damage Estimate Reports Supporting Documentation Insurance Claims, Appraisals, Reports, Settlements Investigations | City Clerk Finance | Final Resolution+4Y | CA - CCP 337 - (LA4Y) CA - CCP 338.1 - (LA4Y) CA - GOV 34090 - (2Y) |

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| 032 | Real Estate Financial Transactions Records and information related to the ownership, acquisition, disposition, transfer of, lease of, infrastructure and facilities including grant deeds, owned by or used by the City. | | Acquisitions Appraisals Attachments Buildings Capital Improvements Community Development Block Grant (CDBG) Property Deeds of Trust Development Agreements Dispositions Easements Land Loan Agreements Mortgages Possessory Interest Promissory Notes Regulatory Agreement Right of Way Sales Subdivision Improvement Agreements (SIAs) Title Reports Valuation Information | | City Clerk Community Development (Housing) Finance | | Permanent | | CA - CCP 315 - (LA10Y) CA - CCP 337 - (LA4Y) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090(a) - (PR) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 570.502(a)(7)(i)(A) - (CL+4Y) US - 48 CFR 4.705-3(h) - (4Y) | | |
| 033 | Economic Development Programs and Services Records and information documenting the City's economic development programs and redevelopment successor programs including marketing, events and customer relationships management. | | Business Recruitment Programs Economic Development Strategy Outreach Workforce Statistics and Data | | City Manager | | While Active+4Y | | CA - CCP 337 - (LA4) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 570.502(a)(7)(i)(A) - (CL+4Y) | | |
| 034 | Risk Management - Insurance Coverage Records detailing the City's general coverage against property damage and liability, including renewal submission information, insurance quotes, broker correspondence, and oversight of third party administrators. | | Binding Information Broker Correspondence California Joint Powers Insurance Authority (CJPIA) Certificates of Insurance Completed Applications Excess Insurance Authority (EIA) Flood Insurance Insurance Policies Insurance Quotes Insurance Submissions Liability Insurance Renewal Strategy | | City Manager | | While Active+4Y | | CA - 22 CCR 3267-2 - (MAINT) CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) | | |
| 035 | Real Estate Acquisition and Management Records and information pertaining to the oversight and administration of acquiring and maintaining City real estate assets. | | Appraisal Reports Deeds Related Correspondence Title Insurance | | City Manager Finance | | While Active+10Y | | CA - CCP 315 - (LA10Y) CA - CCP 337 - (4Y) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 570.502(a)(7)(i)(A) - (AC+4Y) US - 48 CFR 4.705-1 - (4Y) | | |

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| 036 | Building Plans, Building Permits, Appeals and Decisions Records and information documenting the building or fire services provided by the City regulating private property. | | Alternate Materials and Methods of Construction Appeals Authorization Letters Building Inspections Building Permits (issued, active, history) Building Plans - Commercial & Residential Certificates (compliance, elevation, occupancy) Compaction and Soil Reports Construction Signs Correction Notices Design and Construction Standards Developer Fee's and Waivers Energy Calculations Environmental Impact Reports (EIRs) Modifications and Related Tests Plans Related Correspondence Supplemental and Supporting Documents Structural Calculations Temporary Certificate of Occupancy | | | Community Development | | Permanent | | CA - CBC 107.5 - (Completion+180D) CA - CRC R106.5 - (Completion+180D) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)* * Life of Building | | | |
| 037 | Building Plans, Building Permits, Planning Projects - Cancelled, Denied or Abandoned Records of building plans, building permits, and planning projects, with associated documents, where the permit was never issued or the project was abandoned, cancelled, or denied. | | Applications (<i>and related correspondence</i>) Authorization Letters Drawings Energy Calculations Owner Authorization Letters Permit Cancellation Form Plans Proof of Ownership/Escrow Documents Refund Supporting Documents Related Correspondence Supplemental and Supporting Documents Structural Calculations | | | Community Development | | Current Year+2Y | | CA - CBC 105.5.1 - (1Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) | | | |
| 038 | Housing Project Files Records and information associated with grant and loan funding for housing and home improvements, and other related housing project activities, including: - HUD and other grant projects (CDBG, CalHOME, MORE, PLHA) - Neighborhood Conservation and Improvement Program (NCIP) grants and loans - Below Market Purchase (BMP) Program - First-Time Homebuyer (FTHB) Program - Rental assistance - City-owned mobile home park - Homelessness assistance | | Applications Awards Bid Packets Correspondence Grant Documentation Loan Documentation Monitoring Files Notices Project Files Reconveyances | | | Community Development | | Closed*+5Y | | CA - 25 CCR 7721(a)(5) - (MAINT) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 5.514 - (5Y) US - 24 CFR 92.508(c) - (AC+5Y) US - 24 CFR 570.502(a)(7)(i)(A) - (AC+4Y) US - 24 CFR 908.101 - (AC+3Y) * Closes when grant closes out or when loan is fully paid | | | |

City of San Dimas
Records Retention Schedule

| <u>ACRONYMS USED IN LEGAL CITATIONS</u> | | | | | | | | | | | | | |
|---|--|------------------------------------|---|---|--|--|--|---|--|---|--|--|--|
| AC = While Active M = Month | | CU = Current Year MA = Maturity | | CL = Closed MAINT = Maintain Records | | D = Day FR = Final Resolution PR = Permanent | | LA = Limitation on Action S = Superseded | | LI = Life (of program, asset) T = Termination Y = Year | | | |
| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 039 | Planning and Zoning Services Records and information pertaining to the activities of the planning division, including zoning. | | Boundaries CEQA Documents Design Review Development Plans General Plans Home Occupancy Permits Land Use Studies Master Plans and Specific Plans Permit Application Files (<i>annexations, appeals, development applications and permits, entitlements, land use permits, planned development, variances, zoning, rezoning, map amendments</i>) Planning Review Case Files (<i>notices, neighbor letters, plans</i>) Related Correspondence Supplemental and Supporting Documents | | | Community Development | | Permanent | | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12981 - (1Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI) | | | |
| 040 | Short-Term Permits Issued Documentation of permits issued by the City for the short-term purposes and activities within the City limits. <ul style="list-style-type: none"> - Fire code permits (e.g., assembly, candles, fireworks, fire hydrant use, open flames) - Garage sales - Party tents - Sewer discharge permits - Special events - Temporary barricades - Temporary event permits (Xmas tree lots, pumpkin patches) - Temporary signs - Temporary use permits - Transportation permits (traffic control, wide load, etc.) - Tree Removals | | Applications Backup Documentation Fingerprints Pictures Plans Related Correspondence Renewals | | | Community Development Finance Parks & Recreation Public Works | | While Active+4Y | | CA - CCP 337 - (4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) | | | |
| 041 | Hazardous Materials & Hazardous Waste - Monitoring and Remediation Planning, monitoring and contingency/emergency action plans for hazardous materials, hazardous waste, emergency and spill response, natural and exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, MSDS controls, training programs and procedures. | | Correspondence with Regulatory Agencies Emergency Response Programs Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Substances Manifests Hazardous Waste Material Safety Data Sheets (MSDS) Proposition 65 Monitoring Site Mitigation Toxic Substance Inventory | | | Community Development Human Resources Parks & Recreation Public Works | | While Active+30Y | | CA - 8 CCR 3204(d) - (CL+30Y) CA - 22 CCR 66262.40 - (3Y) CA - 22 CCR 66263.22 - (3Y) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 25160.8(c)(3)(D) - (AC+3Y) US - 29 CFR 1910.1020 - (CL+30Y) | | | |

City of San Dimas
Records Retention Schedule

| <u>ACRONYMS USED IN LEGAL CITATIONS</u> | | | | | | | | | | | | | | |
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| Record No. | Record Name and Description | | Example Records | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | | | |
| 042 | Technical Documents & Standards, Real Property Maps and Record Drawings Final standards, technical requirements, maps, record drawings and geographical information pertaining to City infrastructure. | | Aerial Photos Assessor Parcel Maps Annexations Benchmarks Block Books Building Site Determination Center Line Ties Construction Drawings Drainage Flood Hazard Boundary Maps (FHBMs) Geographic Information System (GIS) Improvement Plans, Drawings Lot Line Adjustments Lot Numbers Parcel Maps Parcel Mergers Parcels, Plats Record of Survey Maps Rights of Way Site Maps Sphere of Influence Street Address Files Subdivisions Technical Documents and Standards Tentative Maps Tract Maps Utility Maps | | Community Development Public Works | | Permanent | | CA - CCP 337.15 - (LA10Y) CA - GOV 34090(a) - (PR) CA - HSC 19850 - (LI)* US - 44 CFR 60.3(b)(5) - (MAINT) * Life of Building, Asset or Facility | | | | | |
| 043 | Accounts Payable and Receivable Records and information related to the accounting of monies paid or received by the City, as well as the Mendota Community Corporation (MCC), including payment for financial obligations. | | Aging Reports AR Memos Bankruptcy Notices Business License Files, including Fees Cash Management Records (<i>cash disbursement, cash register receipts, cash receipts, petty cash</i>) Collections and Bad Debt Credit Memos Donations (<i>monetary, in-kind</i>) Expense Reports, Reimbursements for Employees and Officials (<i>including mileage and travel</i>) FEMA/DHS Reimbursements Form 1099 and Form W-9 Records Fund Transfers (<i>inter-departmental memos, etc.</i>) Invoices and Vouchers Payables Purchasing Card Expense Reconciliation/Allocations Receivables (<i>including deposit forms</i>) Reconciliations Refunds Sales and Use Taxes Paid Surplus Property Auction Revenue Tax Payments and Revenue (<i>e.g., transient occupancy taxes, gas taxes, property taxes, utility user taxes</i>) Warrant Register | | Finance | | 6Y | | CA - CCP 337 - (LA4Y) CA - CCP 338 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 26 CFR 31.6001-1(e)(2) - (CU+4Y) US - 26 USC 6531 - (LA6Y) US - 48 CFR 4.705-1 - (4Y; 2Y) | | | | | |

City of San Dimas
Records Retention Schedule

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| | | | | LA = Limitation on Action PR = Permanent | S = Superseded T = Termination | LI = Life (of program, asset) Y = Year |
| Record No. | Record Name and Description | | Example Records | | Responsible Department(s) | Retention |
| 044 | Bank Account Information Records and information related to banking authorities, activities, transactions and correspondence. | | Bank Account Administration Bank Statements Checks, Canceled Check Registers, Journals Corrections / Returns / Adjustments Credit Card Merchant Activity Statements Deposit Permits, Deposits Reconciliations Signature Cards | | Finance | 5Y |
| 045 | Debt Management Records and information relating to City debt issuances of all types and for all departments. | | Arbitrage Reports Bond Issuance and Payments California Debt and Investment Advisory Commission (CDIAC) Filings (<i>and related documents</i>) CDIAC Annual Debt Transparency Reports (ADTR) Continuing Disclosure Documents (<i>including supplemental information and no-default certificates</i>) Cost of Issuance Documents (<i>including copies of agreements and invoices</i>) Credit Rating Agency Rating Reports Debt Management Policy Financing Analyses Monthly Fiscal Agent Statements Transcripts of Debt Issuances by Each Series | | Finance | Maturity*+10Y |
| 046 | Financial Reporting - Internal Annual and periodic financial reports, whether required by regulations or generated to track financial transactions and achievements by the City. | | Cashier's Report Debt Report Deferred Compensation Reports FHRMS Report Monthly Financial Reports Monthly Investment Reports Revenue/Expenditures Reports Utility Billing Reports | | Finance | 6Y |
| 047 | Financial Reporting - Official Official financial reports of the City. | | AB1600 Report AB2854 Sales Tax Sharing Report Annual Report of Financial Transactions To State Audited Financial Statements CalPERS Reports and Retirement Plans COVID-related FEMA Projects Equitable Sharing Agreement and Certification to DOJ PFFC Tax Return Possessory Interest Report Quarterly SLFEE Compliance Report to Depart of the Treasury Underground Tank Report | | Finance | 6Y |

City of San Dimas
Records Retention Schedule

ACRONYMS USED IN LEGAL CITATIONS

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 M = Month MA = Maturity MAINT = Maintain Records PR = Permanent S = Superseded T = Termination Y = Year

| Record No. | Record Name and Description | Example Records | Responsible Department(s) | Retention | Legal Citations and Comments |
|------------|---|---|---------------------------|--------------|---|
| 048 | Fixed Assets Fixed asset records and information related to the ownership, transfer, acquisition, disposition, or improvement of fixed assets (including machinery and equipment, infrastructure, and vehicles) owned by or used by the City. | Acquisitions Amortization Asset Retirement Records Asset Tags Capital Asset Records Capital Improvements Depreciation Schedules Dispositions Fixed Asset Ledger Fixed Asset Reports Fixed/Capital Asset Accounting Transfers | Finance | Life*+10Y | CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 26 USC 6531 - (LA6Y) US - 48 CFR 4.705-3(h) - (4Y) * Life of Asset |
| 049 | Funding Districts Records and information documenting the formation and operations of the City's funding districts: - Lighting district - Landscape parcel tax district - Northwoods district | Continuing Disclosures Debt Reporting District Formation Documents | Finance | Permanent | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090(a) - (PR) CA - GOV 60201 - (PR) |
| 050 | General Ledger, Journal Entries, Budget Adjustments Records and information related to the transfer of charges between accounts and summaries of account information, including year end summaries of general ledger transactions. | Account Ledgers Balance Sheets Budget Adjustments Cash Journal Entries Chart of Accounts Deposit Cards Downloads / Data Exports Expenditure Reports General Ledger Journal Entries, Journal Vouchers, and Backup Documentation Revenue Sub-Ledgers Summary Reports Trial Balance Year-End / Account Detail History Report | Finance | 6Y | CA - GOV 34090 - (2Y) US - 26 CFR 31.6001-1(e)(2) - (CU+4Y) US - 26 USC 6531 - (LA6Y) |
| 051 | Investments and Treasury Records and information relating to City investment activities. | Certificates of Deposit (CDs) Corporate Bond Documents Money Market Investment Statements Financial Investment Planning Government Sponsored Enterprise Bond Documents Investment Reporting and Portfolio Management Investment Reports (<i>monthly, etc.</i>) Joint Powers Authority (JPA) Pool Investment Fund Statements Local Agency Investment Fund (LAIF) Statements Quarterly Investment Committee Reports Security Instruments Third Party Trustee Account Statements Trade Tickets/Confirmations Treasury Bills | Finance | Maturity*+5Y | CA - CCP 336 - (LA5Y) CA - CCP 337 - (LA4Y) CA - CCP 338 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) * Maturity includes cancellation and redemption |

City of San Dimas
Records Retention Schedule

ACRONYMS USED IN LEGAL CITATIONS

| | | | | | | |
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| M = Month | MA = Maturity | MAINT = Maintain Records | PR = Permanent | S = Superseded | T = Termination | Y = Year |

| Record No. | Record Name and Description | Example Records | Responsible Department(s) | Retention | Legal Citations and Comments |
|------------|--|---|---------------------------|-----------------|---|
| 052 | Payroll Records and information related to the accounting of payroll earnings, deductions, and issuance. This also includes records and information reflecting all earnings and benefits paid to each employee, including: - Name, address, SSN - Total amount and date of payments - Period of service covered for each - Withholding - Tax collected - Administrative support for use of electronic timekeeping system | Adjustments (<i>including requests, request forms, queries and supporting documents</i>) Checks (<i>off-cycle, stale dated</i>) Computer Loan Enrollment Records Garnishments Overtime Authorizations Payroll and Timekeeping Memos (<i>including related action items</i>) Payroll Registers PERS Reporting Processing Reports, Reports to Government Reconciliations (<i>general ledger (GL), military pay</i>) Retroactive Payments/Deductions (<i>HR authorizations and calculation</i>) Salary Schedules (<i>including calculations</i>) Separation Records (<i>lists, payoffs</i>) Timekeeping Records (<i>timecards, as-needed employee timesheets, extra help requests, DOT timesheets, prior period adjustments, FLSA report, payroll reclass forms</i>) Year-end Annual Tax Forms, State and Federal (W-2, <i>electronic W-2, State forms</i>) | Finance | 6Y | CA - 2 CCR 570.5(a)(7) - (5Y) CA - 2 CCR 571(b)(1)(E) - (5Y) CA - 8 CCR 11040(7)(c) - (3Y) CA - 22 CCR 1085-2(c) - (4Y) CA - GOV 12946 - (4Y) CA - GOV 34090 - (2Y) CA - LAB 226a - (3Y) CA - LAB 1174(d) - (3Y) CA - LAB 1197.5(e) - (3Y) CA - UIC 1132 - (LA3Y) US - 20 CFR 655.760 - (3Y) US - 26 CFR 31.6001-1(e)(2) - (5Y) US - 26 USC 6531 - (LA6Y) US - 29 CFR 516.5 - (3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1620.32 - (2Y) US - 29 CFR 1627.3(a) - (3Y) US - 29 USC 436 - (5Y) US - 48 CFR 4.705-2 - (4Y; 2Y) |
| 053 | Redevelopment/Successor Agency Official Reports Official reports issued by the former San Dimas Redevelopment Agency or the Successor agency to the San Dima Redevelopment Agency. | Annual Report to State Due Diligence Reviews Enforceable Obligation Payment Schedule (EOPS) Excess Bond Proceeds Prior Period Adjustment Records Recognized Obligation Payment Schedule (ROPS) State Controllers Report State Department of Finance Determination Letter Statement of Indebtedness Successor Agency Property Management Plans | Finance | While Active+4Y | CA - GOV 34090 - (2Y) CA - HSC 34177(n) - (1Y) US - 24 CFR 570.502 - (CL+4Y) |
| 054 | Unclaimed Funds Records and information pertaining to unclaimed or outstanding checks not cashed by recipient. | Notice of Unclaimed Checks & Publication Records Uncashed Checks Unclaimed Funds | Finance | 3Y | CA - CCP 1519 - (3Y) CA - GOV 34090 - (2Y) |
| 055 | Benefit Plans and Programs Benefit Plans established to provide employee benefits and associated administrative documents. | COBRA Rates, Records, Histories Employee Benefit Plans (e.g. <i>medical, dental, vision, EAP, etc.</i>) Group Insurance Cost Data Premium Information Retirement Plans Summary Plan Descriptions | Human Resources | Life*+6Y | CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 29 CFR 1627.3(b)(2) - (AC+1Y) US - 29 CFR 4007.10(a)(1) - (6Y) US - 29 CFR 4041.5 - (LI*+6Y) US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (T+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) |

*Life of Plan or Benefit

City of San Dimas
Records Retention Schedule

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 056 | Employee Benefit Files Employee election (selection), enrollment or termination forms and related correspondence, including transmissions to carriers of additions, changes, claims and deletions (includes employee medical records subject to HIPAA requirements). | | Benefits Files, Enrollments, Appeals Beneficiary Designations Benefit Requests Death Claims, Life Event Documents Disability Accommodations Disability Claims Employment Status Changes (<i>authorizations, terminations, confirmations, status changes, coverage changes</i>) Flexible Spending Enrollment FMLA Leave Records Life Insurance Notification Letters/EOI Required Benefits Reporting Retiree Medical Benefit Claims and Reimbursements Supplemental Forms Unemployment Claims and Appeals | | | Human Resources | | Separation+4Y | | CA - 2 CCR 11013(c) - (AC+4Y) CA - 22 CCR 1085-2 - (CU+4Y) CA - GOV 12946 - (AC+4Y) CA - GOV 34090 - (2Y) US - 26 CFR 301.6501(a)-1 - (CU+3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1602.30 - (3Y) US - 29 CFR 1602.31 - (AC+2Y) US - 29 USC 1059 - (T+1Y) | | | |
| 057 | Employee Hazardous Exposure and Medical Records Documents pertaining to medical and hazardous exposure records of City staff, City officials, and others performing work on behalf of the City. NOTE: May include employee medical information subject to HIPAA requirements. | | ADA Compliance and Reasonable Accommodation Drug Testing Exposure Files Exposure Monitoring Field Exposure Fitness for Duty Medical Leaves of Absence Medical Records Pre-employment Medical Exams Vaccination Records | | | Human Resources | | Separation+30Y | | CA - 8 CCR 3204(d) - (T+30Y) CA - CCP 338.1 - (LA5Y) CA - GOV 12946 - (4Y; T+4Y) CA - GOV 34090 - (2Y) CA - 29 CFR 1904.33 - (CU+5Y) US - 29 CFR 1910.95(m)(3)(ii) - (T) US - 29 CFR 1910.1020(d) - (T+30Y) | | | |
| 058 | Employee Training All documents related to general and specialized technical education and training taken by officials, paid employees and unpaid volunteers, beyond what is required for position. May include, but is not limited to: <ul style="list-style-type: none"> - Compliance - Ethics - FEMA/SEMS/CSTI - Fire Extinguisher - First Aid/CPR - Specialized Equipment - Workplace Harassment Prevention - Workplace Violence Prevention | | Certification Records Compliance Training Individual Education, Development | | | Human Resources | | Separation+5Y | | CA - 8 CCR 3203(b)(2) - (1Y) CA - GOV 34090 - (2Y) CA - GOV 53235.2(b) - (5Y) CA - GOV 53237.2(b) - (5Y) CA - HSC 25505(a)(4) - (3Y) CA - LAB 6401.9(f)(2) - (1Y) US - 29 CFR 1602.14 - (AC+1Y) US - 29 CFR 1602.31 - (2Y) | | | |
| 059 | Employee Training Materials, Courses, Scheduling Documentation regarding the content of courses and schedules for training offered to employees, officials and volunteers. | | Attendance Lists Presentation Materials PowerPoint Slide Decks Rosters Sign-in Sheets Testing/Qualifications Training Bulletins | | | Human Resources | | 5Y | | CA - 8 CCR 3203(b)(2) - (AC+1) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (4Y) CA - GOV 34090 - (2Y) CA - GOV 53235.2(b) - (5Y) CA - GOV 53237.2(b) - (5Y) CA - LAB 6401.9(f)(2) - (1Y) US - 29 CFR 1602.14 - (1Y) | | | |

City of San Dimas
Records Retention Schedule

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 060 | Labor Relations Grievances Documentation related to labor grievances filed under current collective bargaining agreements. | | Grievance Files/Commission Hearing Grievance/Hearing Logs Union Grievances | | | Human Resources | | Final Resolution+4Y | | CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (4Y) CA - GOV 12960 - (LA3Y) CA - GOV 12965 - (LA2Y) CA - GOV 34090 - (2Y) US - 29 CFR 1602.31 - (CL+2Y) US - 29 USC 255 - (LA2Y) | | | |
| 061 | Labor Relations Negotiations Documentation related to the negotiations between labor unions for collective bargaining purposes. | | Confidential Memos Costing Ground Rules Handouts Information Requests Miscellaneous Information Notes Proposals - City Proposals - Union | | | Human Resources | | While Active+4Y | | CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (4Y) US - 29 CFR 516.5(b) - (3Y) | | | |
| 062 | Personnel Records - Employees and Officials All documents related to paid employees (full and part-time) and officials including but not limited to: - selection/hiring - assignments - promotion - demotion - transfer - layoff / recall / out-placement - separation / discharge / resignation - pay rates / other terms of compensation | | Applications Awards, Commendations, Certificates DMV Records (<i>pull notices</i>) Deduction Authorizations, Registers, and Reports Deferred Compensation Reports Direct Deposit Documentation (<i>authorization forms, ESS direct deposit verifications</i>) Employee Driver Qualification Files Employee Policy Acknowledgements Individual Education, Development, Training Records Job Offer Letters, Conditional Offers of Employment LiveScan Records (<i>hired staff</i>) New Hire Checklist Oaths of Office Payroll Taxes and Withholding Forms (<i>DE-4, W-4</i>) Performance Evaluations, Reviews or PIPs Personnel Action Forms (<i>PAF</i>) Recognition | | | Human Resources | | Separation+4Y | | CA - 2 CCR 11013(c) - (AC+4Y) CA - GOV 12946 - (T+4Y) CA - GOV 34090 - (2Y) CA - LAB 1198.5(c)(1) - (T+3Y) CA - LAB 2810.8(b)(4) - (3Y) CA - VEH 1808.1(c) - (1Y) US - 29 CFR 825.500(b) - (3Y) US - 29 CFR 1602.14 - (AC+1Y) US - 29 CFR 1602.31 - (AC+2Y) US - 41 CFR 60-1.12(a) - (AC+2Y) US - 41 CFR 60-741.80 - (AC+1Y) | | | |

City of San Dimas
Records Retention Schedule

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 063 | Recruitment Records and information related to recruitment of qualified persons for paid positions with the City, whether full time or temporary, including: - Applications and related records of candidates interviewed but not hired or accepted - Applications received but not acted upon | | Applications, CVs, Resumes (<i>rejected, unsolicited</i>) Applicant Tracking Records (<i>hired, rejected</i>) Drug Testing, Pre-Hire Screening - candidates not hired/accepted Eligible Lists Job Postings, Announcements Job Requisition Requests Job Specifications LiveScan Records (<i>unsuccessful candidates</i>) Miscellaneous Hiring Process Notes Personal History Statement (PHS) Position Information Offers - Conditional and Formal Rating Sheets Temporary Staffing Test Results Test and Examination Materials | | | Human Resources | | 4Y | | CA - 2 CCR 11013(c)(2) - (4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (4Y) CA - GOV 34090 - (2Y) US - 29 CFR 1602.31 - (2Y) US - 29 CFR 1627.3(b)(1) - (1Y) US - 41 CFR 60-741.44(f)(4) - (3Y) US - 41 CFR 60-741.44(k) - (3Y) | | | |
| 064 | Salary, Compensation Documentation of job classification compensation. | | Classification Studies Compensation Plans, Planning, Analysis Cost of Living Adjustments Job Descriptions Salary Range History Salary Surveys | | | Human Resources | | 5Y | | CA - 2 CCR 570.5(a)(7) - (5Y) CA - 2 CCR 571(b)(1)(E) - (5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1602.14 - (AC+1Y) US - 29 CFR 1602.31 - (2Y) | | | |
| 065 | Work Authorizations and Supporting Documentation Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status. | | I-9 Documents | | | Human Resources | | Termination+3Y | | CA - GOV 34090 - (2Y) US - 20 CFR 655.760 Subpart H - (T+1Y) US - 8 CFR 274a.2 - (3Y or T+1Y, whichever is longer) | | | |
| 066 | Worker Compensation Records Documents pertaining to work-related injuries and related claims for workers' compensation. NOTE: May include employee medical information subject to HIPAA requirements. | | Claims and Incident Files Workers Compensation | | | Human Resources | | While Active+6Y | | CA - 8 CCR 10102 - (Injury+5Y or Closed+1Y) CA - 8 CCR 14300.33 - (5Y) CA - CCP 338.1 - (LA5Y) CA - GOV 12946 - (4Y; T+4Y) CA - GOV 34090 - (2Y) CA - 29 CFR 1904.33 - (CU+5Y) | | | |

City of San Dimas
Records Retention Schedule

| <u>ACRONYMS USED IN LEGAL CITATIONS</u> | | | | | | | | | | | | | |
|---|--|------------------------------------|---|---|--|--|--|---|--|--|--|--|--|
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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 067 | Employee Health & Safety Documents related to the protection of employee health and safety and employee drug screening. NOTE: May include employee medical information subject to HIPAA requirements. | | Accident (Injury or Illness) Investigation Reports Bloodborne Pathogen/Exposure Control Plan Covid Contact Tracing Emergency Action Plans Employee Safety Training Records Ergonomic Evaluations Health and Safety Bulletins Health & Safety Reviews Lockout/Tagout (LOTO) New Hire Health & Safety Orientation Checklist Forms Public Access Defibrillation Reports (<i>Unsafe Conditions, Hazards, Hazard Correction, Workplace Violence</i>) Safety Committee (<i>employee suggestions and responses, safety letters/memos, meeting minutes</i>) Safety Inspections | | | Human Resources | | 6Y | | CA - 8 CCR 3203(b)(1) - (1Y) CA - 8 CCR 5157 - (1Y) CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - LAB 6409.6(f) - (5Y) US - 29 CFR 1602.14 - (AC+1Y) US - 29 CFR 1602.31 - (AC+2Y) US - 29 CFR 1904.33 - (CU+5Y) US - 29 CFR 1910.95(m)(3)(i) - (2Y) US - 49 CFR 382.401(b)(1) - (5Y) | | | |
| 068 | Computing Application, System Maintenance Technical documentation related to management of City technology processes, applications, or systems. | | Business, Functional Requirements Change Requests System, Application Maintenance Documentation <i>(hardware/operating system requirements, monitoring logs, operating manuals)</i> | | | Information Technology | | Life*+2Y | | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) *Life of Application. | | | |
| 069 | Technology Help Desk Records and technical documentation of internal controls and system security. Includes data / information security breaches, notifications, and supporting documentation. NOTE: Records may include confidential information. | | Access Requests Audit Trail Files Data Breaches (<i>notifications, reports, responses</i>) Special Access Approvals Trouble Tickets Usage Reports (<i>summary, system</i>) User Access Records (<i>logs, user accounts, log-in files, data entry logs, accounts</i>) User Incident, Response Files | | | Information Technology | | While Active+2Y | | CA - CIV 1798.29 - (MAINT) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GC 34090 - (2Y) | | | |
| 070 | Facility Rentals Records and information documenting rental arrangements for the City's facilities, including those for: - Meeting rooms - Event and party rentals - Picnic areas - Sports fields - Agnews Campus auditorium and mansion - Mission City Center for Performing Arts | | Applications (<i>approved, unapproved</i>) Insurance Certificates Permits Releases of Liability Reports | | | Parks & Recreation | | While Active+4Y | | CA - CCP 337 - (LA4Y) CA - CCP 338 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) | | | |

City of San Dimas
Records Retention Schedule

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | |
| 071 | Parks and Recreation Programs and Services Records and information documenting the City's parks and recreational programs and services, including those for: <ul style="list-style-type: none">- Classes Instructor Contracts- CNIPS (California Nutrition Information and Payment System)- Outdoor Recreation, including hikes and campouts- Program/Class/Leagues- Racket courts- Recreation Center, including fitness room, weight room, sauna, and showers- Senior Center, including seminars, classes, excursions, and workshops- Special events- Summer camp- Swim centers- Youth & Teen Center | | | Annual Memberships Applications (<i>programs, scholarships</i>) Instructor Contracted Agreement Packet Mandated Reporting: Child or Elder Abuse Program/Event Evaluations Recreation Schedules Registrations/Withdrawal Reports and Forms Reservations and Waivers Scholarship Award Records | | | Parks & Recreation | | While Active+4Y | | CA - CCP 337 - (LA4Y) CA - 22 CCR 65523 - (2Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) |
| 072 | Asset Management and Maintenance Records related to the management and maintenance of City assets, including equipment and fleet vehicles: <ul style="list-style-type: none">- Irrigation (parks, public green space)- Landscaping- Playground equipment- Pump Stations- Traffic signals- Streetlights- Swimming Pools- Trees- Vehicles/Fleet | | | Calibration Records Chemical Readings Equipment Certifications Equipment Inspections Inventory of City Trees Maintenance and Repair Work Orders Maintenance Inspection Reports (<i>equipment, trees</i>) Maintenance Reports Pressure Vessel Certifications or Permits Pesticide Applications Repair Records Smog Reports Tree Trimming Schedules Vehicle Safety Checks Vehicle Titles (<i>pink slips</i>) Work Orders | | | Parks & Recreation Public Works | | Life*+4Y | | CA - 3 CCR 6624(g) - (2Y) CA - 22 CCR 65523(e) - (2Y) CA - 22 CCR 66266.130(c)(5) - (3Y) CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 4216.2(f) - (3Y) CA - GOV 34090 - (2Y) CA - HSC 25250.18(b) - (3Y) CA - HSC 44019(b) - (3Y) CA - VEH 34505.5(c) - (2Y) * Life of Asset |
| 073 | Building, Property Management Records and information regarding the structure of City buildings. | | | As-Built Blueprints Construction Records Electrical Wiring Schematics Floor Plans Property Inventory Utility Consumption Tracking | | | Parks & Recreation Public Works | | Life*+10Y | | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) * LI = Life of Building or Facility |

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 074 | Capital Project Files - Administrative Documents Records and information related to the administration of public works, Capital Improvement Program (CIP) and Engineering & Capital Projects for City facilities and infrastructure. | | Bid and Proposal Documents (<i>list of bidders, openings, proposals, RFIs, RFPs, summaries</i>) Certified Payrolls Construction Management Logs Daily Inspection Diary Developer Payment / Trusts (Contractor's Trusts) Engineering Comments Estimates Notices to Proceed Plan Check Comments Progress Meetings Project Administration Project Schedules | | | Parks & Recreation Public Works | | While Active+10Y | | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - 14 CCR 15095 - (Reasonable) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 92.508(c) - (AC+5Y) US - 24 CFR 570.502(a)(7)(i)(A) - (AC+4Y) | | | |
| 075 | Capital Project Files - Permanent Documents Records and information related to the analysis, design, development, planning, construction and maintenance of public works, Capital Improvement Program (CIP) and Engineering & Capital Projects for City facilities and infrastructure. | | Assessments Capacity (<i>water, wastewater</i>) Fees Certificates of Compliance/Notice of Non-Compliance Daily Inspections and Progress Meetings E.I.R., Notice of Determination, Categorical Exemptions Encroachment Permits, Certificates Field Inspections, Closures Final Improvement Plans/As-Built Plans NPDES Permits Photos/Pictures Project Plans and Permits Real Estate Appraisals Reports: (<i>Geotechnical, Soil, Drainage, Stormwater, Sewer, and Traffic</i>) Specifications, Calculations, Change Orders Studies and Surveys Underground Utilities Maps | | | Parks & Recreation Public Works | | Permanent | | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - 14 CCR 15095 - (Reasonable) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.334 - (CL+3Y) US - 24 CFR 92.508(c) - (AC+5Y) US - 24 CFR 570.502(a)(7)(i)(A) - (AC+4Y) | | | |
| 076 | Security, Access Operations Records and information regarding physical access controls and protection for City buildings and facilities. | | Access Controls Access Reports Building Security Forms Camera Footage - City Controlled Camera Footage - Sheriff's Department Control Daily Activity Logs Facility Key Lists/Logs Key Cards Security Guards Transaction Logs Visitor's Logs | | | Parks & Recreation Public Works | | 2Y | | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - GOV 34090.6 - (Routine Video: 1Y) * Exception: Camera footage is retained for one year | | | |

City of San Dimas
Records Retention Schedule

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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 077 | Traffic and Transportation Design and Planning Records and information of activities impacting City streets and traffic, as well as transportation projects and efforts to manage traffic circulation and plan for upcoming improvements, including - Bicycle and pedestrian program - Dial-A-Cab program - Highway corridors - Parking restrictions - Pothole monitoring - Signs and street markings - Street Name Changes - Studies and surveys - Traffic calming programs - Traffic signals | | Impact Studies Parking Plans Rights-of-Way Shared Mobility Permits Speed Surveys Traffic Counts Traffic Management Plans Traffic Signal Studies Transportation Planning Warrants and Justification Memos Work Orders | | | Parks & Recreation Public Works | | While Active+2Y | | CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) San Dimas Municipal Code 3.08.040 - (MAINT) | | | |
| 078 | Development Reviews Documentation of engineering reviews of development plans for residential and commercial projects within the city to assure they meet State Standards and issue encroachment permits for those projects. | | Development Plans Engineering Reviews Related Correspondence | | | Public Works | | Life*+10Y | | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) | | | |
| 079 | Encroachments Records documenting long-term encroachments upon City property, or by the City on the property of others that are not stored in a project file. | | Certificates of Compliance Encroachment Permits and Related Documents | | | Public Works | | While Active+10Y | | CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) | | | |
| 080 | Fuel Management Records related to the storage and management of fuel for City vehicles. | | California Air Resources Board Certificate Fuel Pump Maintenance and Testing Fuel Reports, Billing Reports, Journals, Fuel Tickets Fuel Tank Integrity Testing Fuel Tank Maintenance (aboveground, below ground) | | | Public Works | | Life*+5Y | | CA - 23 CCR 2712 - (LI)* CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GC 34090 - (2Y) CA - HSC 25285 - (5Y) CA - HSC 25292(b)(4) - (1Y) CA - HSC 25293 - (MAINT) | | | |
| | | | | | | | | * LI - Life of Tank Exceptions - For testing and maintenance of underground storage tanks, the following exceptions apply: - Monitoring and maintenance records - retain 3Y - Release detection system, such as written performance claims, calibration, and maintenance records - retain 5Y - Records pertaining to a cathodic protection system - retain 6.5Y | | | | | |

City of San Dimas
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| Record No. | Record Name and Description | | Example Records | | | Responsible Department(s) | | Retention | | Legal Citations and Comments | | | |
| 081 | Storm Drainage Management Records and information associated with management of the City's storm drain system. | | Inventories (<i>equipment, materials, meters, pipes</i>) NPDES Permits Pollution Control Permits Sewer Management Plan Storm Drains Storm Water Monitoring Water Runoff Testing | | | Public Works | | While Active+5Y | | CA - CCP 338 - (LA3Y) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 25244.19 - (4Y) CA - HSC 25244.20 - (4Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 40 CFR 122.44(i)(ii) - (3Y) | | | |