

**From:** Tami Taylor  
**To:** [Tami Taylor \(TTaylor@cotaticity.org\)](mailto:Tami.Taylor@cotaticity.org)  
**Bcc:**

**Subject:** Response to question re City of Cotati RFP - vendor list  
**Date:** Tuesday, June 28, 2016 8:09:00 AM

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Hello,

This message is for vendors to whom the DMS RFP for the City of Cotati was sent, in response to a question about which firms received the RFP. Here is the vendor list:

Hines EDM  
Ray Morgan Company  
ECS Imaging, Inc.  
Peelle Technologies  
Inland Business Systems  
Ricoh USA, Inc.  
OnBase by Hyland  
Tyler Technologies  
iCompass

In addition, the RFP has been posted to the City's Bids and RFPs page here:  
<http://www.ci.cotati.ca.us/sections/departments/business-cotati.cfm>.

Regards,

Tami

CityofCotati\_OneLinesmall



Tami Taylor, CMC | City Clerk  
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[www.cotaticity.org](http://www.cotaticity.org)

City of Cotati response to questions regarding DMS RFP  
June 30, 2016

1. How many people within the City will require read/write access to the system?

45

2. How many people within the City will require read-only access to the system? Of these people, how many will need access at any given time? Please answer both questions independently.

0

3. How does the City define a "business record" versus a non-business record?

A "Business Record" is a record as defined in City of Cotati Policy No. 2016-02, Records and Information Management (RIM) Policy (attached).

4. How does the City envision the DMS system will determine whether a record stored within it meets that standards set forth as a "business record"?

During system setup document types would be assigned the appropriate record category and retention according to the City's Retention Schedule, so that during use, information entered into or created in the DMS would be automatically determined.

5. How many GBs of information does the City expect to need to convert from its existing SIRE system? Please provide **both** the size of the **database** and the size of **all files** stored of the system as two separate numbers?

We are in the process of getting this information and will distribute the answer to this question shortly.

6. Is it expected that the City or the selected vendor will be responsible for ingesting information from other electronic sources (other than SIRE) into the DMS?

It's expected that the DMS will allow individual users will be able to bring in documents and files that were created outside of the DMS and currently stored on networked shared drives and local drives into the DMS.

7. Is it expected that the City or the selected vendor will be responsible for indexing the information, that is currently not indexed, from sources other than SIRE.

See answer to question 6 above.

8. Is it expected that the vendor will configure the retention policies within the DMS? If yes, please provide a detailed retention policy that can be used to estimate the required services for configuration?

Yes. The City's Retention Schedule is attached.

3. Are the 5 departments listed, the only departments that will be part of the implementation?

Yes. Note that the City Manager's office includes Human Resources and that Administrative Services includes Finance, Payroll and iT. Our Police Department maintains most if its records through a separate regional system called iLeads. It is NOT a requirement for the selected system to interact with iLeads.

City of Cotati response to questions regarding DMS RFP **SUPPLEMENTAL – Updated answer to question no. 5**  
July 6, 2016

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~~We are in the process of getting this information and will distribute the answer to this question shortly.~~

*Database size: 23.38 MB    Size of files: 26.5 GB    Total number of files: 62,480*

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City of Cotati  
City Council Policy No. 2016-02

Records and Information Management (RIM) Policy

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I. Policy

This Policy defines the requirements that staff will follow for managing the records and information assets of the City of Cotati (the “City”) to meet the City’s operational needs and in compliance with federal, state, and local laws.

II. Background and Purpose

The purpose of the policy is to apply efficient and economical methods to the creation, utilization, maintenance, retention, preservation and disposal of all records managed by the City. This policy applies to elected officials, council appointed advisory bodies, employees, temporary workers and contractors of the City who are acting on behalf of City and who have access to, use of, or are involved in the creation, maintenance or storage of the City’s records and information.

III. Definition of Records

- A. For purposes of this Policy and compliance with the City of Cotati Retention Schedule a “Record” is defined as a writing, event, transaction, or other information including but not limited to any document, instrument, book or paper, that is in the custody of a City employee, representative, or public officer and is kept either because the law requires it or in order to conduct City business.
- B. This Policy relates to all types of records and information created or received by the City in the course of its business, including, but not limited to:
1. Paper documents, forms, reports, manuals, maps, drawings, correspondence and files;
  2. Computer-received and generated records and information in structured or unstructured format, electronic communication, and metadata;

3. Records and information in other formats such as microfilm, videos, photographs, etc., regardless of the location or device upon which the information is stored.

#### IV. POLICY STATEMENT

##### A. Ownership

Unless expressly stated otherwise, records and information created or received in the course or conduct of the City's business are the exclusive property of the City. City records and information are subject to compliance with this Policy, the associated Retention Schedule and any other City governance requirements.

##### B. Authenticity

The City is committed to creating and maintaining complete, accurate, and trustworthy records and information that document its business activities. Deliberately creating false or misleading records or information regarding the City's activities is strictly prohibited. In addition, records and information should not contain language that is incomplete or inaccurate.

##### C. Classification

Records and information will be created, stored and managed with the appropriate classification that enables the efficient access and secure protection of the information.

##### D. Retention

Records and information are to be retained in accordance with the approved Retention Schedule. When records or information complete their retention period, regardless of the format, they shall be deleted or disposed of in compliance with City procedures.

##### E. Storage

Records and information no longer considered active may be transferred to designated repositories offsite to fulfill retention requirements. Information that is owned by the City should not be transferred to or stored on any personal devices.

## F. Availability

Records and information must be available for future business, litigation, and investigations as necessary, regardless of storage location. Records and information that are deemed “public” and non-exempt are to be made available for the public to obtain in accordance with the California Public Records Act, Government Code §6250-6276.48.

## G. Exiting Elected Officials, Council Appointed Advisory Body Members, Employees, and Contractors

When an employee or a contractor leaves the City, the exiting individual’s supervisor, manager or City Manager designee is responsible for complying with the requirements of this Policy and any supporting procedures for retaining and managing the records and information of the exiting employee or contractor.

## H. Suspending Retention Requirements

Records and information relevant to litigation, an investigation, or an audit and subject to a “Legal Hold” are to be retained and preserved until further notice from the City Attorney, regardless of the retention period set forth in the Retention Schedule.

Records and information subject to a Legal Hold that are no longer required for business purposes may be transferred to offsite storage for preservation in coordination with the City Attorney.

## I. Information Protection

Disaster recovery backup media are exact copies of an operating system, associated application and data created for the sole purpose of recovering data in the event of a disaster and are not subject to the requirements of the Retention Schedule. Backups serve as a level of protection for electronic systems and the data that is stored on those systems.

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**City of Cotati**  
**2016 Retention Schedule**

AR = Annual Review    CL = Closed / Completion / Final Resolution    CU = Current Year  
LI = Life (of contract, program, asset)    PR = Permanent    S = Superseded/Overwritten    T = Termination

Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
1	Administrative Services	Accounting	Accounts Payable/Receivable	Records and information related to the accounting of monies paid or received by the City including payment for financial obligation, documenting bad debt, paying of unemployment expenses, employee expense reimbursement, money paid for fines or fees, services rendered, vendor credit cards, cash payments received, etc.	CU+10Y	Allocations Backflow Billing - PW Cash Disbursement Cash Receipts Contract Balances Credit Card Slips, Statements Developer Billing - CD, PW Employee Expense Reports, Reimbursements Facilities Fees Fixed / Capital Asset Accounting Flex Spending Form 1099 Records Form W-9 Records Fully Burden Rates Invoices and Vouchers Journal Vouchers Operating Invoices, Paid (General, Contract Vendors) Payables Package, Receipts Payments Petty Cash Data Public Defender Billing - PD Receivables Package, Receipts Utility Billing Vendor Invoices	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 - (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
2	Administrative Services	Accounting	Cost Accounting	Records and information tracking City costs.	CU+4Y	Billing Rates, Journal Month-End Cost Records	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
3	Administrative Services	Accounting	Credit, Collections	Records and information generated or collected in the tracking of debtor transactions and balances.	CU+10Y	Accruals Bad Check Logs Bad Debt Reserves Credit, Collections and Aging Credit Memos Credit Reports Credit Reviews Customer Payments Refund Claims Uncollectable Accounts Write-offs, Adjustments	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
4	Administrative Services	Accounting	General Ledger, Journal Entries	Records and information related to the transfer of charges between accounts and summaries of account information, including year end summaries of general ledger transactions.	CU+10Y	Account Ledgers Appropriations Transfers Balance Sheets Books of Account Cash Journals Chart of Accounts Demand Register Expenditure Reports General Ledger Journal Entries Manual Accounting Ledger, Control Ledger Payroll Journal Purchases Journal Reports-Due to Due From Reports-Transfer Ins-Outs Sub-Ledgers Trial Balance Year -End / Account Detail History Report	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
5	Administrative Services	Accounting	Real Property, Fixed Assets	Records and information related to the ownership, purchase, sale, lease or improvement of real property and facilities owned by or used by the City.	LI*+10Y	Acquisitions Amortization Schedules Asset Retirement Records Attachments Buildings Capital Asset Records Capital Improvements Depreciation Schedules Fixed Asset Ledger Mortgages Parkland Possessory Interest Sales Valuation Information	CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 - (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	* LI = Life of Building, Asset

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6	Administrative Services	Accounting	Taxes	Records and information related to taxes collected and paid by the City.	CU+4Y	General Fund Taxes Property Tax Real Property Tax / Tax Rate Sales/Use Tax Transient Occupancy Tax	CA - GOV 34090 - (2Y)	
7	All Departments	Audit	Audits (Internal, External)	Records and information related to auditing activities, including reviewing and documenting operational, compliance, or financial information created as a part of an audit.	CU+10Y	Annual Audit Reports Audit Files, Plans Audit, Auditors Reports Audit Schedules, Checklists Audit Workpapers City Audits Comprehensive Annual Financial Report (CAFR) Federal Audits General Purpose Financial Audits, Single Audits Improvement Plans Investigations, Workpapers Management Responses Observations Recommendations Remediation Plans / Results Responses State Audits (Single, Gas Tax, Prop 1B)	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501e - (6Y) US - 26 USC 6531 - (TAX+6Y)	
8	Administrative Services	Banking	Bank Account Information	Records and information related to banking activities, transactions and correspondence. This category includes deposits and reconciliations.	CU+10Y	Bank Account Administration Bank Statements (All Agencies) Checks, Canceled Check Copies Check Registers, Journals Corrections / Returns Deposit Permits Deposits Electronic Banking Reconciliations Signature Authorization Cards Transactions Transfers Voided Checks Wire Transfers	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
9	Administrative Services	Budgets, Planning	Budget Management	Records and information relating to creating and implementing the final approved budget.	CU+10Y	Appropriation Limits Budget Book, Pictures, Talking Points Enterprise Fund Final Budget Document Gann Limit Annual Review General Fund Revenue/Expenditure Reports Special Revenues Trial Balance/Balance Sheets (Finals)	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
10	Administrative Services	Budgets, Planning	Financial, Strategic Planning	Records and information relating to financial planning.	CU+10Y	Business Plans Financial Plans Forecasts Interim Results Revenue Forecasts Strategic Plans	CA - GOV 34090 - (2Y)	All Departments participate in the City's annual Strategic Planning Process
11	Administrative Services	Financial Reporting	Financial Reporting - Annual, Official	Official City financial reports required by regulations.	CU+10Y	Annual Report of Financial Transactions To State Annual State Controller Filings Audited Financial Statements EEOC Reports Possessory Interest Report / Lease Reports State Controllers Office Reports (Streets, Cities, Transactions)	CA - GOV 34090 - (2Y) US - 26 CFR 1.1461-2 - (CY+1Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (3Y)	

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12	Administrative Services	Financial Reporting	Financial Reporting - Periodic (Daily, Weekly, Monthly, Quarterly)	General financial reports generated to track financial transactions and achievements by the City.	CU+10Y	1099 Reports Business License Reports Expenditures Reports Monthly Treasurer's Report Payroll Reports (HRA, RMT, ICMA 457 accounts, Nationwide, deferred compensation) Pooled Cash Reports Quarterly Investment Reports Utility Reports Weekly Reports Year-End Tracking Reports	CA - GOV 34090 - (2Y)	
13	All Departments	Fleet Management	Fuel Management	Records related to the purchase, tracking and management of fuel for City vehicles and travel by City employees.	4Y	(aboveground storage tank - AST) California Air Resources Board Certificate Fuel Card Authorizations Fuel Pump, Fuel Tank Maintenance Fuel Reports, Billing Reports, Journals, Fuel Tickets Mileage Reports	CA - 18 CCR 4901 - (4Y) CA - GOV 34090 - (2Y)	
14	Administrative Services	Office Services	Mail, Print and Office Support	Records and information regarding mail, printing and general office services operations.	2Y	Certified Mail Reports Cost Recovery Reports Express Mail Tracking (FedEx, UPS, etc.) Forms (Masters) Inventory Tracking Order Forms Postage Tracking Postal Records Printing Orders Production Files Supplies Management	CA - GOV 34090 - (2Y)	
15	Administrative Services	Treasurer	Abandoned Property, Escheat	Records and information pertaining to unclaimed funds and warrants held in trust by the City.	10Y	Cancelled Warrants (escheat) Uncashed Checks	CA - CCP 1513 - (3Y) US - Uniform Unclaimed Property Act (1995), Section 3 - (10Y)	
16	Administrative Services	Treasurer	Investments	Records and information relating to analysis of City financing and investment activities.	CU+10Y	Bonds Bonded Indebtedness Cash Bonds Certificates of Deposit (CDs) Certificates of Participation Compensated Absences Direct Investments Due Diligence Exempted Securities Financial Investment Planning GASB 68 Investment Performance Reporting Investment Reporting Loans Local Agency Investment Fund (LAIF) Long Term Debt Money Manager Statements OPEB Performance Bonds, Letters of Credit Portfolio Management, Quarterly Reviews Redevelopment Agency Records Revenue Bonds Returns Management SEC Disclosures Security Instruments Stock / Equity / Debt Issuance, Repurchase Records Trustee Accounts	CA - CCP 336 - (5Y) CA - CCP 337 - (4Y) CA - CCP 337.5 (10Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 (CY+3)	* CL = Maturity of Investment
17	All Departments	Communications, Outreach	Permissions, Releases	Records of permissions and releases for publications and logos.	2Y	Publication Permissions/Releases Logo Permissions/Releases	CA - GOV 34090 - (2Y)	
18	All Departments	Compliance	Compliance Reporting	Official governmental reports issued by City to comply with regulatory requirements.	5Y	EEOC Reports Labor Reports PERS Report	CA - GOV 34090 - (2Y) US - 29 CFR 405.9 - (5Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.30 - (3Y) US - 40 CFR 141.155 - (3Y)	

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19	All Departments	Fees, Licensing, Permitting	Business and Personal Licenses and Permits	Documentation of licenses, non-building permits and other authorizations issued in the City.	CL+4Y	Alarms Annual Licenses Business Licenses Dog Licenses Encroachment Permits Flood Zone Determinations Handgun Permits Home Business Licenses Home Occupation Permits (HOP) Massage Establishments Massage Technicians Medical Marijuana Dispensary Licenses Mobile Vendors, Peddlers Taxis (cabs, drivers) Transportation Permits (oversize, overweight)	CA - CCP 337 (4Y) CA - GOV 34090 - (2Y)	
20	All Departments	Fees, Licensing, Permitting	Fees Collection and Fee Maintenance	Records and information documenting general administration and maintenance of City fee payments, collection, and receipts.	CU+4Y	Assessment District Fees Building Permit Fees Business License Fees Copying Fees Candidate Filing Fees Encroachment Fees Facility Use Fees Fee Schedules, Reporting Film Permits Grading Fees Impact Fees Inspection Fees Licensing/Permitting Penalties, Fines Mobile Home Rent Stabilization Fee Exemption Analysis Oversize/Overweight Permit Fees Penalty Fees Plan Review Processing Fees Recreation Program Fees Traffic Fees Water Systems (including irrigation) Fees	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 - (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
21	All Departments	Finance	Grants and Funding Sources	Documents the application, evaluation, awarding, administration, monitoring, and status of grants and other funding sources in which a local government entity is the recipient, grantor, allocator, or administrator.	CL*+5Y	Applications (including project proposals) Audits Awards Award Notification Budget Tracking Reports Community Development Block Grants (CDBG) Enterprise Funds (water, waste, housing) FEMA / OES Reimbursements Federal, State, Local Grants Funding Source Records Gas Tax Grant Administration Grant Funding Grant Evaluations Program Rules, Regulations, Procedures Property Taxes Funding Reports to Funding Agencies Special Revenue Funds Transportation Funding	CA - GOV 34090 - (2) US - 7 CFR 3016.42 - (3Y) US - 24 CFR 85.42 - (3Y) US - 28 CFR 66.42 - (3Y) US - 29 CFR 97.42 - (3Y) US - 40 CFR 31.42 - (3Y) US - 44 CFR 13.42 - (3Y) US - 45 CFR 92.42 - (3Y)	* CL = Close of Grant, Plus All Final Audit Report Completed; if grant is in perpetuity, it never closes; or, retain per contract stipulation, whichever is longer  Grants covered by a Consolidated Action Plan are required for 5 years; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; OMB Circular A-133

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22	All Departments	Finance	Payroll	Records and information related to the accounting of City payroll, including garnishment records and information to satisfy debts. This also includes records and information reflecting all remuneration paid to each employee, including: - Name, address, SSN - Total amount and date of payments - Period of service covered for each - Withholding - Tax collected	CU+4Y	1099 1099R Attendance Records, Corrections Benefit Payments CalPERS Reporting Deduction Registers, Reports Deferred Compensation Employee Benefits Employee Deduction Authorizations, Check Information, Extra Help Reports Employee Master Lists, Addresses Federal Tax Garnishments Garnishment Orders, Receipts Longevity Pay Payroll Checks, Copies, Stub Reports Payroll Certifications, Controls Payroll Deduction Authorizations, History, Liens, Claims Payroll Earnings Registers Payroll Tax Returns Personnel Action Forms Processing Reports, Reports to Government Agencies Social Security Tax State Tax Time Sheets - Reports Timekeeping Records ( <i>Timecards, Time Sheets, Basic Time and Earnings Cards</i> ) Tuition Reimbursements Unemployment Tax W-2 W-4 Wage Rate Tables Work Schedules	CA - CCR 1085-2 (c) - (4Y) CA - GOV 12946 - (2Y) CA - LAB 226a (3) CA - LAB 1174 - (3Y) CA - LAB 1197.5 - (LA2Y) CA - UIC 1132 - (LA3Y) US - 26 USC 3301-3311 - (4Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 31.6001-1 (4Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 516.5 - (3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1620.32 - (2Y) US - 29 CFR 1627.3 - (3Y)	
23	All Departments	Finance	Procurement, Purchasing and Requisitioning	Records and information created or retained in the purchasing or acquisition of goods and services. Documentation that includes the terms and conditions under which vendors will provide goods or services. After preparation and purchase pertinent information becomes part of contract file or project file and other information is considered to be draft.	CU+4Y	Bids, Awards ( <i>Accepted, Unaccepted, Rejected</i> ) Change Orders Delivery Records Exhibits Price Lists Proof of Insurance Certificates Purchase Orders Purchasing Cards/CalCards Purchasing Package Quotations Receiving Reports Requisitions Requests for Information (RFI) Requests for Proposal (RFP) Requests for Quote (RFQ) Scorecards Specifications	CA - GOV 34090 - (2Y) CA - CCP 337 - (4Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 516.5 - (3Y)	
24	All Departments	Finance	Strategic Planning, Budget Planning and Workpapers	Records and information regarding the strategic planning and development of City, council, commission or departmental budgets.	2Y	Strategic Planning Documents Budget Planning Documents Budget Working Files Budget Workpapers, Worksheets	CA - GOV 34090 (2Y)	
25	All Departments	Finance	Vendor, Supplier Files	Records and information of suppliers and vendors to all City organizations created or retained in the purchasing or acquisition of goods and services.	2Y	Contractors - Vendor List Supplier Catalogs Vendor Packets Vendor Applications, Profiles	CA - GOV 34090 - (2Y)	
26	All Departments	General	Convenience Information	Non-record documents and materials retained for immediate personal use purposes and then discarded.	AR	Articles ( <i>newspaper, magazine, journal</i> ) Census Data Classification Studies Data Processing Subject Files ( <i>Correspondence, Reference Publications, Reports</i> ) Extracted Data Summaries General Plan Reference Files Records Inventory		Considered non-record research material

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27	All Departments	General	Department Administration	General internal administrative records of City departments.	2Y	Chronological Files Department Committees Department Goals, Objectives Department Plans Employee Desk Files General Files In-House Committees / Employee Committees Notes Office Files, Office Manager Files Organization Charts Staff Meetings Traffic Accident Reports (No Claim) Volunteer Recognition Events	CA - GOV 34090 - (2Y)	
28	All Departments	General	Historical Artifacts, Documents, Events, Memorabilia and Collections	Records and information documenting the history and significant milestones of the City including dedications, ribbon-cuttings, grand openings, and groundbreaking ceremonies.	PR	Annual Budgets City Generated Historical Studies / Reports City Manager Press Releases City Publications Executive, City Official Communications, Speeches, Videos History of the Organization Historical Events, Artifacts, Architecture, Designations, Projects Historical Parks, Facilities List of Historic Properties Memorial Programs Picture Collections Significant News Clippings, Releases	CA - GOV 34090 - (2Y)	
29	All Departments	General	Lists, Logs and General Reporting	General routine reports generated by the City, as well as records and information captured on a log or a list for tracking of certain information.	CL+2Y	Calendars City Generated Routine Studies / Reports Contact Lists Diaries, Notepads Files Index, Indices Inactive Records Storage Information Telephone Answer Pads, Book, Messages Telephone Directory Lists	CA - GOV 34090 - (2Y)	
30	All Departments	General	Policies, Procedures and Plans	All documentation of City, agency, council, commission, special district or department policy and procedures.	CL+10Y	Directives Guidelines Handbooks Master Plans Policies Procedure Manuals Procedures Program / Initiative Plans Records Retention Schedule Rules / Regulations Standards	CA - GOV 34090 - (2Y) US - 26 CFR 31.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1059 - (TE+1Y)	
31	All Departments	General	Project and Subject Working Files	Records documenting specific activities related to a particular project or subject.	CL+2Y	Auditing, Accounting Matter Complaint Logs City Owned Equipment City Programs Consultants Economics Growth Management Joint Planning Projects City / County Positive Feedback Project Files Project Reporting Project/Program Plan Risk Management Studies Subject Files Surveys / Questionnaires Working Files	CA - GOV 34090 - (2Y)	
32	All Departments	General	Service Issues, Complaints	Documentation regarding department complaints and related requests for service.	CL+2Y	Help Desk Data, Tickets Issues Log Trouble Reports	CA - GOV 34090 - (2Y)	
33	All Departments	General	Shipping and Receiving	Records related to the shipping and receiving of products.	2Y	Bills of Lading Freight Bills Manifests, Transfer Logs Waybills	CA - GOV 34090 - (2Y)	

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Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
34	All Departments	Legal	Agreements, Contracts and Leases	Executed agreements between the City and other parties.	CL+10Y	Addendums Agreements/Contracts (all other than CIP contracts) Amendments Attachments / Exhibits Disclosures Easements/Easement Interest Joint Power Agreement (JPA) Leases, Real Estate Leases, Attachments Letters of Intent Liability Waivers License Agreements, Licenses Licensing, Licenses (general) Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) * Memorandum of Agreement / Understanding Payment Bonds Performance Bonds for Contracts Proof of Insurance Certificates (all other than CIP vendors) Property Improvement Contracts Schedules Statements of Work (SOW) Surety Bonds Warranties	CA - CCP 315 - (LA10Y) CA - CCP 337 - (4Y) CA - CCP 337.15 - (LA10Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001-1 - (CY+4Y) US - 26 CFR 301.6501 - (CY+3Y) US - 40 CFR 70.6 - (CL+5Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 49 CFR 107.504 - (CL+2Y)	
35	All Departments	Legal	Case Files, Claims, Litigation, Arbitration and Resolution	Records and information created or collected to support the City's position in actual or potential litigation or to otherwise evaluate actual or potential litigation relating to the organization, including claims, constituent complaints, grievances, worker compensation. Litigation includes third party litigation, government investigations, mediations, arbitrations, and other judicial or quasi-judicial proceedings.	CL+10Y	ADA Case Files Case Correspondence Cease & Desist Letters Claims Claims Against City, Special District Complaints Contract Disputes Court Orders Constituent Claims Demand Letters EEOC Charges, Cases Injury Reports Meet and Confer Pleadings (Affidavits, Depositions, Exhibits, Court Filings) Settlement Copies Subpoenas Unemployment Compensation Claims Unemployment Compensation Data, Weekly Earnings Data Worker Compensation Benefits (Awards, Claims, Orders, Reports)	CA - 2 CCR 11013 - (CL+2Y) CA - 8 CCR 10102 - (5Y; AC+1Y) CA - 8 CCR 10103.1 - (5Y) CA - 22 CCR 1085-2 - (4) CA - LAB 5410 - (LA5Y) CA - RTC 7154 - (LA5Y) CA - RTC 19384 - (LA4Y) CA - RTC 19704 - (LA6Y) CA - UIC 1132 - (LA3Y) CA - CCP 315 - (LA10Y) CA - CCP 337.15 - (LA10Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (3Y) US - 26 CFR 301.6532-1 - (LA2Y) US - 26 CFR 301.6532-2 - (LA5Y) US - 26 CFR 301.6532-3 (a) - (LA9M) US - 26 USC 6531 - (LA6Y) US - 26 USC 6532 - (LA2Y) US - 29 USC 255 - (LA2Y) US - 29 USC 626 (d) - (LA300D) US - 35 USC 286 - (6Y) US - 42 USC 2000e-5 (e) - (LA180D) US - 42 USC 2000e-5 (f) - (LA180D)	* CL = Final resolution of all claims, appeals

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Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
36	All Departments	Projects	Public Works Project Files (CIP)	Records and information related to the analysis, design, development, planning, construction and maintenance of public works, capital improvement and engineering projects for City facilities and infrastructure.	PR	As-Built Plans Assessments Bicycle / Pedestrian Trails / Paths Bridges and Creeks Calculations Capacity (water, wastewater) Fees Capital Improvement Project (CIP) Files Certificates of Compliance/Notice of Non-Compliance Change Orders Closures Curb & Gutter Development Fee Book Drainage Permits E.I.R., Notice of Determination, Categorical Exemptions Encroachment Permits, Certificates Environmental Impact Statements Final Improvement Plans Geologic Studies Grading Permits Insurance Certificates Materials Testing Reports Medians Notice of Completion Parking Parking (residential, non-residential) Pavement Markings / Traffic Legends Photos/Pictures Sidewalks Signs, Signals Soils Reports Sound Walls Standard Plans Studies Submittals Surveys Underground Utilities	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - 14 CCR 15095c - (Reasonable) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)	
37	All Departments	Public Records Act	Public Records Requests	Records requested by the public and related inquiries.	CL+2Y	Collection Lists Formal Public Records Requests	CA - GOV 34090 - (2Y)	
38	All Departments	Communications, Outreach	Community Outreach, Media and Public Relations	External-facing communications, advertising and press relations materials, including documentation of outreach activities/events held in cooperation or for the benefit of the local community.	2Y	Biographies of Public Officials, Agency Heads Brochures FAQs Mailers Media Packets, Releases, Kits Newspaper Clippings News, Press Releases Press Kits Public / Media Inquiries Public Information / Outreach / Education Publications Produced by the City Publicity Files Publicity Photographs Social Media Documentation Special Events	CA - GOV 34090 - (2Y)	
39	All Departments	General	Business Continuity Plans	All documentation of City plans for dealing with disasters and/or system failures.	S+4Y	Business Continuity Plans Disaster Preparedness Disaster Recovery Plan Drill Records Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Evacuation Procedures Emergency Operations Center Emergency Preparedness Emergency Response Emergency Services Hazardous Materials Response Planning School Violence Search and Rescue Telephone Trees Terrorism	CA - CCP 337.1 - (LA4Y) CA - GOV 34090 - (2Y)	

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40	City Manager	General	Franchise Administration	Records and information pertaining to the administration of utility and service franchises within the City.	5Y	Pacific Gas & Electric Pacific Telephone & Telegraph Cable TV System Solid Waste Recycling Trash Services	CA - CCP 337 - (4Y) CA - GOV 34090 - (2Y)	
41	All Departments	Recreation	Recreation Programs and Services	Records and information documenting the City's recreational programs and services.	CL*+2Y	Adult Services Programs / Classes Applications Aquatics Cultural Activities Programs / Classes Facility Rentals (use applications, permits, insurance) Liability Waivers Programs, Classes, Leagues Registrations Forms Special Events Teen Services Programs / Classes Youth Services Programs / Classes Withdrawal Forms	CA - GOV 34090 - (2Y)	* Repeat users of facilities remain active
42	City Manager	Elections	Election Records - Unsuccessful Candidates	Records and information related to the filing of campaign and election documentation by candidates not elected.	CL+5Y	Campaign Disclosures, Nomination Papers	CA - GOV 81009 - (5Y)	
43	City Manager	Elections	Election Records - Vital	Records and information related to the filing and performance of City elections, as well as to elected candidates.	PR	Ballot Measures Campaign Disclosures, Nomination Papers Campaign Information Candidates Certificates of Election, Sample Ballots Certification of Election Results Fair Political Practices Commission Files	CA - ELEC 17200 - (8M) CA - ELEC 17302 - (6M) CA - ELEC 17304 - (6M) CA - ELEC 17306 - (6M) CA - ELEC 17503 - (6M) CA - GOV 81009 (PR)	
44	City Manager	Elections	Petitions	Documentation related to ballot initiatives, referenda, recalls, charter amendments and other community petitions for a vote of the people.	9 Months	Ballot Initiatives Charter Amendments Petitions Recall Campaigns Referendum Campaigns	CA - ELEC 17200 - (8M) CA - ELEC 17302 - (6M) CA - ELEC 17304 - (6M) CA - ELEC 17306 - (6M) CA - ELEC 17503 - (6M) CA - GOV 81009 (PR)	
45	City Manager	Elections	Proposition 218	Documentation related to Proposition 218 assessment elections records.	6 Months	Assessment Ballot Proceeding Ballots Property Related Fees Proposition 218	CA - ELEC 17302 - (6M)	
46	City Manager	Elections	Proposition 218 Assessment Districts	Records and information related to ballots and protest letters for assessment districts.	2Y	Ballots Protest Letters	CA - ELEC 17302 - (6M) CA - GOV 34090 - (2Y)	Property owner elections only.
47	City Manager	General	Appointments	Appointments made by authorized elected officials to councils, committees, boards, commissions, task forces, other advisory groups, or public offices, including those to fill vacancies for otherwise elected positions.	T+2Y	Applications (Appointed, Unsuccessful) Interview Notes Letters of Appointment Letters of Recommendation Oaths of Office Resumes Submitted Documents	CA - GOV 34090 - (2Y)	
48	City Manager	General	Statements of Economic Interest and Ethics Training	Forms mandated by state law related to economic interests of certain employees, elected or appointed officials, or candidates for office and required training.	CL+7Y	Form 460 (Campaign Statements) Form 700 (Economic Interest Statements, SEI) Form 801 Form 802 Form 806	CA - GOV 34090 - (2Y) CA - GOV 81009 (4Y, 7Y) CA - AB1234	
49	City Manager	Insurance	Claims Management	Records detailing claims against insurance coverage by the City, including appraisals and reports.	CL+10Y	Incident Reports Annual Audit of Open Claims Appraisals Claims By/Against the City Damage Estimate Reports Supporting Documentation Insurance Claims, Appraisals, Reports Investigations Liability Waivers	CA - CCP 337 - (5Y) CA - GOV 34090 - (2Y)	

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Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
50	City Manager	Insurance	Insurance Coverage	Records detailing the City's general coverage against property damage and liability, including renewal submission information, insurance quotes, & broker correspondence.	CL+6Y	Binding Information Binders Broker Correspondence Certificates of Insurance Completed Applications Disability Insurance Flood Insurance Insurance Policies Insurance Procured by Others (Vendors) Insurance Quotes Insurance Submissions Liability Insurance Renewal Strategy Unemployment Insurance	CA - 22 CCR 3267-2 - (MAINT) CA - CCP 337 - (5Y) CA - GOV 34090 - (2Y)	
51	City Manager	Legal	Advice and Opinions	Records documenting legal counsel and advice on various matters.	S+10Y	Internal Client Communications Opinions	CA - GOV 34090 - (2Y)	
52	All Departments	Meetings, Minutes	Official Meetings, Legislative Actions	Legislative and non-legislative actions that document policy development, including Council and Committee and Appointed Advisory body meeting minutes and Ordinances.	PR	Agenda Packets and Facesheets Boards and Commissions Meetings, Minutes City Codes City-wide Plans/Programs Adopted Meeting Minutes, Notices, Recordings, Transcripts Minute Books & Index Municipal Code Ordinances Proclamations Resolutions Summary of Actions, Statement of Actions (SOAs) Transcriptions of audio or video recordings of meetings	CA - CCP 315 - (LA10Y) CA - CCP 321 - (5Y) CA - CCP 336 - (5Y) CA - CCP 336a - (6Y) CA - CCP 337 - (4Y) CA - CCP 337.5 - (LA10Y) CA - GOV 34090 - (2Y) CA - GOV 60201 - (PR) CA - GOV 60201 - (SU+5Y)** US - 48 CFR 4.703 - (AC+3Y) US - 48 CFR 52.249 - (AC+3Y)	* Many of these have historical value. ** Ordinances, once repealed or overridden, may be destroyed 5 years after being superseded.  Boards, Commissions including (but not limited to): Planning Commission
53	All Departments	Meetings, Minutes	Public Notices	Records documenting compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and others.	4Y	Affidavits of Posting Affidavits of Publication/Legal Notices Public Hearing Notices	CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	Brown Act challenges must be filed within 30 or 90 days of action; Statute of Limitations on Municipal Government actions is 3 - 6 months
54	City Manager	Recording, Filing	Recorded Documents - Vital	Records and information pertaining to those original key documents recorded on behalf of the City.	PR	Abandonments Annexations City Incorporation Conveyances from the City ( <i>Deeds, Easements, Abandonments</i> ) Conveyances to the City ( <i>Deeds, Easements, Dedications</i> ) Deeds Detachments Easements Eminent Domain Grant Deeds Liens Parcel Maps Rights-of-Way Street / Alley Abandonments, Improvements Vacations	CA - GOV 34090 - (2Y)	
55	City Manager	Recording, Filing	Records, Information Management	Documentation of the compliance with Records and Information Management policy and procedures.	CL+10Y	Certificates of Destruction Document Hold Notices, Updates Lists of Stored / Destroyed Records	CA - CCP 315 - (LA10Y) CA - CCP 337 - (4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001-1 - (CY+4Y) US - 26 CFR 301.6501 - (CY+3Y) US - 40 CFR 70.6 - (CL+5Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 49 CFR 107.504 - (CL+2Y)	

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Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
56	All Departments	Staffing	Personnel Files - Volunteers and Unpaid Interns	All documents related to unpaid volunteers and interns.	CL+3Y	Applications, Applicant Reference Verifications Attendance Records Awards, Rewards, Commendations, Certificates Change in Status (CIS) Complaints Data Protection Forms (Signed) Volunteer Acknowledgements, Executed Policy Receipts Goals Individual Education, Development, Training Records Investigations Liability Waiver (copies) Recognition Resignations, Exit Interview Notes Roles, Responsibilities		
57	City Manager	Benefits	Benefit Plans	Plans and systems established to provide employee benefits and associated administrative documents.	LI*+6Y	Carrier Reporting, Performance COBRA Rates, Records, Histories Employee Benefit Plans Group Insurance Cost Data Retirement System Summary Plan Descriptions Supplemental Forms	US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) US - 29 CFR 4007.10 - (6Y) US - 29 CFR 4041.5 - (LI*+6Y)	* LI = Life of Plan
58	City Manager	Benefits	Employee Benefits	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).	CL+6Y	Actuarial Analysis for Benefit Reserves and Accounting Appeals Benefits Files, Contract Copies, Enrollments, Appeals Beneficiary Designations Death Claims, Life Event Documents Employee Cost-Sharing Amounts Employment Authorizations, Terminations, Confirmations, Status Changes, Coverage Changes Family & Medical Leave Tracking (Compensation, Complaints/Disputes, FMLA Requests, Parental Leave Forms, Paid/Unpaid Leave) Flexible Spending Enrollment Individual Retirement Accounts (IRAs), 401k Histories Life Insurance Notification Letters/EOI Leave of Absence Documentation Medical Billing Statements Pension Plan Applications, Claims Premium Information Required Benefits Reporting Retirement Loans / Retirement	CA - 22 CCR 1085-2 - (4Y) CA - GOV 12946 - (2Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 825.500 - (3Y) US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) US - 29 CFR 4007.10 - (6Y)	
59	All Departments	Labor Relations	Collective Bargaining	Documentation related to the negotiations between labor unions for collective bargaining purposes.	CL+10Y	Contract Negotiations Labor Relations Union Communications Union Petitions	CA - GOV 12946 - (2Y) CA - LAB 5410 - (LA5Y) US - 26 CFR 31.6001-1 - (CY+4Y)	City Manager and Police Depts. Only.
60	All Departments	Labor Relations	Collective Bargaining Grievances	Documentation related to labor grievances filed under current collective bargaining agreements.	CL+10Y	Grievance Files/Commission Hearing Grievance/Hearing Logs Union Grievances	CA - CCP 312 - (LA4Y) CA - CCP 315 - (LA10Y) CA - CCP 337 - (4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 12946 - (2Y) US - 26 CFR 31.6001-1 - (CY+4Y) US - 26 CFR 301.6501 - (CY+3Y) US - 40 CFR 70.6 - (AC+5Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 49 CFR 107.504 - (AC+2Y)	City Manager and Police Depts. Only.
61	City Manager	Occupational Health	Employee Medical Records	Documents pertaining to medical records of City employees, including exposure to hazardous substances, drug screens, and workers' compensation (includes employee records subject to HIPAA requirements).	T+30Y	Drug Screening Employee Hazardous Chemical Exposure Employee Medical Records Exposure Monitoring Firearms and Field Exposure Hazardous Exposure HIPAA Employee Records Material Data Safety Sheets (MSDS) Personnel Files - Medical Radiation Exposure Records Toxic Substance Exposure Records Worker Compensation	CA - 8 CCR 14300.33 - (5Y) CA - 8 CCR 3204 - (TE+30Y) CA - 19 CCR 2760.9 - (5Y) CA - CCP 337.15 - (LA10Y) CA - CCP 338 - (LA3Y) CA - CCP 338.1 - (LA5Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) CA - 29 CFR 1904.33 - (CY+5Y) US - 29 CFR 1910.95 - (TE+2Y) US - 29 CFR 1910.1020 - (30Y) US - 40 CFR 68.81 - (5Y) US - 40 CFR 268.7 - (3Y)	

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2016 Retention Schedule

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62	All Departments	Staffing	Background Checks	All documentation related to background checks for both paid employees and unpaid volunteers.	T+2Y	LiveScan Criminal Offender Record Information (CORI) Investigations	CA - GOV 12946 - (FR+2Y) CA - GOV 34090 - (2Y)	City Manager and Police Depts. Only.
63	City Manager	Staffing	Employee Training - General	All documents related to general education and training taken by paid employees and unpaid volunteers, including: - FEMA/NIMS - Base Station Forms - Fire Extinguisher - First Aid/CPR - Safety	5Y	Attendance Certification Records Compliance Training Courses/Seminars ( <i>Taken by Employees - includes Safety Training</i> ) Ethics Training Individual Education, Development	CA - 8 CCR 3203 (CY+1) CA - GOV 53235.2b - (5Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (CY+2Y)	
64	City Manager	Staffing	Personnel Files - Employees	All documents related to paid employees, including but not limited to: - hiring - promotion - demotion - transfer - layoff / recall / out-placement - termination / discharge / resignation - pay rates / other terms of compensation	T+5Y	Applications, Applicant Reference Verifications Attendance Records Awards, Rewards, Commendations, Certificates Change in Status (CIS) Civil Service Examination Results and Rankings Complaints Data Protection Forms ( <i>Executed, Signed</i> ) Disciplinary Actions, Transfers DMV Pull Program ( <i>random testing</i> ) Employee Acknowledgements, Executed Policy Receipts Employee Relations Records Employee Training/Certification Records ( <i>FEMA/NIMS, Base Station Forms, Fire Extinguisher, First Aid/CPR</i> ) Goals Individual Employee Agreements, Contracts (copies) Individual Education, Development, Training Records Investigations Job Offer Letters Leave of Absence / LOA Oaths of Office Out-Placement Data Performance Evaluations, Reviews Performance Improvement Plans (PIPs), Counseling Documents Promotions, Recognition Resignations, Exit Interview Notes Roles, Responsibilities	CA - 2 CCR 11013 (FR+2) CA - 8 CCR 14300.33 (CY+5) CA - CCP 312 - (LA4Y) CA - GOV 12946 - (TE+2Y) CA - LAB 3076.3 - (5Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (TE+2Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1059 - (TE+1Y) US - 41 CFR 60-1.12 (a) - (2Y) US - 41 CFR 60-250.80 - (2Y) US - 41 CFR 60-741.80 - (2Y)	
65	City Manager	Staffing	Recruitment	Records and information related to applications and related records of candidates interviewed but not hired or accepted, including applications received but not acted upon.	CL+3Y	Applications, CVs, Resumes ( <i>Rejected, Unsolicited</i> ) Applicant Tracking Records ( <i>Hired, Rejected</i> ) Background Checks, Investigations Drug Testing, Pre-Hire Screening Interview Notes Job Descriptions Job Postings, Announcements Job Requisition Requests Job Specifications Miscellaneous Hiring Process Notes Position Information Recruitment Temporary Intern Staffing Test Results ( <i>Non-hires</i> ) Unpaid Interns ( <i>Rejected</i> ) Volunteers ( <i>Rejected</i> )	CA - GOV 12946 (FR+2) CA - GOV 34090 - (2Y) US - 29 CFR 1627.3b1 (1) US - 29 CFR 1602.31 (CY+2Y)	
66	City Manager	Staffing	Salary, Compensation	Documentation of position and employee compensation.	S+3Y	Classification Studies Compensation Plans, Planning, Analysis Cost of Living Job Descriptions Job Evaluation Documentation Salary Range History Salary Surveys	CA - GOV 34090 - (2Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1001-1381 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 48 CFR 4.703 - (AC+3Y) US - 48 CFR 52.249-2 & 3 - (AC+3Y)	
67	All Departments	Staffing	Training Materials, Courses, Scheduling	Documentation regarding the courses and schedules for training offered to employees for training and development.	S+6Y	Attendance Lists Educational Assistance Employee Development Presentation Materials PowerPoint Slide Decks Testing	CA - GOV 12946 - (2Y) CA - LAB 3076.3 - (5Y) US - 29 CFR 1602.14 - (CY+1Y) US - 45 CFR 164.530 (j) - (CY+6Y)	

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68	City Manager	Staffing	Work Authorizations and Supporting Documentation	Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.	T+1Y	Employment Eligibility Forms I-9 Documents Immigration Supporting Documentation	US - 20 CFR 655 Subpart H - (TE+1Y) US - 8 CFR 274a.2 - (3Y, or TE+1Y)	
69	All Departments	Code Enforcement	Code Compliance and Enforcement	Records and information documenting compliance with City codes, including violations.	CL+3Y	Code Citations Code Enforcement Code Violations Compliance with Conditions of Approval Inspections / Enforcement ( <i>Business, Residential</i> ) Investigations Notices of Violation Photographs Resolution Vehicle Abatement ( <i>abandoned vehicles</i> ) Violations	CA - GOV 34090 - (2Y) US - 40 CFR 122.21 - (3Y) US - 40 CFR 122.41 - (3Y)	
70	All Departments	Economic Development	Economic Development Programs and Services	Records and information documenting the City's economic development programs.	10Y	Appraisals Business Promotion Programs Business Recruitment Programs Community Activities Community Data Economic Development Programs Economic Development Project Files Economic Development Strategic Planning	CA - CCP 337.15 - (LA10) CA - GOV 34090 - (2Y)	
71	Community Development	Housing	Building Codes and Permits	Records and information documenting the City's building services activities.	PR	Americans with Disabilities Act (ADA) Documentation Bay Area Air Quality Management District (BAAQMD) Permits Building Codes Building Inspections Building Permits ( <i>issued, active, expired, history</i> ) Building Plans CALGreen Updates Certificates of Occupancy Street Address Files	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2) CA - HSC 19850 - (LI)	
72	Community Development	Housing	Housing Authority Administration	Records and information of housing agency operations and programs.	CL+10Y	Applications Compliance Monitoring Foreclosure Prevention, Counseling HUD Reports (50058) INS Appeal, Informal Hearing Inclusionary Monitoring, Projects Predevelopment Loans Rental Assistance, Vouchers (Section 8) Resales Set-Aside Funds Supportive Services for Veterans Tenant Files	CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 24 CFR 84.53 - (LA3Y) US - 24 CFR 85.42(b) - (LA3Y) US - 24 CFR 511.15 - (3Y) US - 24 CFR 511.73 - (LA3Y) US - 24 CFR 570.490 - (LA3Y) US - 24 CFR 570.502(a)(16) - (LA4Y) US - 24 CFR 582.301 - (LA5Y)	Includes the following programs and funds: - Cal Home First Time Homebuyers - Comprehensive Housing Affordability Strategy (CHAS) - Family Self-Sufficiency - HELP First Time Homebuyers - HOME Funded First Time Homebuyers - HOME Program Rental Project - Homeless Prevention and Rapid Rehousing - Housing Assistance Plan (HAP) - Housing Choice Vouchers - Rehab Program Loan - Section 8 Management Assessment (SEMAP) - Section 8 SRO Moderate Rehabilitation - Shelter Plus Care & Supportive Housing
73	Community Development	Housing	Housing Authority Financials	Records and information of housing agency operations and programs financial management.	PR	Development / Affordability Agreements Restricted Units	CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 24 CFR 84.53 - (LA3Y) US - 24 CFR 85.42(b) - (LA3Y) US - 24 CFR 511.15 - (3Y) US - 24 CFR 511.73 - (LA3Y) US - 24 CFR 570.490 - (LA3Y) US - 24 CFR 570.502(a)(16) - (LA4Y) US - 24 CFR 582.301 - (LA5Y)	

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74	Community Development	Planning and Zoning	Planning and Zoning Services	Records and information pertaining to the activities of the planning division, including zoning.	PR	Design Review Environmental Reviews, Determinations General Plan ( <i>Growth Management, LAFCO, Land Use Code</i> ) Land Use Permits Plans, Project Files Public Use Redevelopment Resolutions Sphere of Influence State, Federal Reporting Tribal Consultations Water Zoning Compliance Certificates	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI) CA - WAT 10631 - (5Y)	
75	Police Department	Case Files	Missing Persons and Runaways	Records, crime reports and evidence associated with missing persons and runaways.	CL*+2Y	National Missing and Unidentified Persons System (NaMUS)	CA - GOV 34090 - (2Y)	* Case is only closed once solved ILEADS
76	Police Department	Case Files	Officer Involved Shootings	Records, crime reports and evidence associated with criminal cases dealing with officer involved shootings.	PR	Case Files	CA - GOV 34090 - (2Y)	ILEADS
77	Police Department	Case Files	Sealing of Adult Records	Records of court orders to seal the records of adults.	3Y*	Court Order Petition Letter	CA - PEN 851.8 - (SEAL+3Y) CA - PEN 851.90 - (MAINT)	* From the date the records were sealed. ILEADS
78	Police Department	Case Files	Stolen Property	Records, crime reports and evidence associated with stolen property.	CL*+3Y	Case Files	CA - CCP 338 - (3Y)	* Case is only closed once solved ILEADS
79	Police Department	Case Files	Traffic Collisions - Fatal	Records, crime reports and evidence associated with traffic collisions involving fatalities.	PR	Case Files	CA - GOV 34090 - (2Y)	ILEADS
80	Police Department	Criminal Registrations	Drugs, Gangs	Records for those required to register as drug or gang violence offenders.	5Y	Case Files	CA - GOV 34090 - (2Y) CA - HSC 11594(a) - (5Y) CA - PEN 186.32 - (5Y)	ILEADS
81	Police Department	Criminal Registrations	Sex Offenders, Arsonists	Records for those required to register as sex offenders or arsonists.	LI*	Case Files	CA - GOV 34090 - (2Y) CA - PEN 290(b) - (Life of Offender) CA - PEN 457.1(b)(2) - (Life of Arsonist)	* LI = Life of the offender, arsonist
82	Police Department	Dispatch and Communications	Dispatch and Communications Records	Records of police emergency calls and responses, to include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.	100D*	911 Emergency Call Logs Computer Aided Dispatch (CAD) Dispatch Activity Log Radio Dispatcher Logs Tape Recordings	CA - GOV 26202.6 - (100D) CA - GOV 34090.6 - (100D)	* Exception: Recordings used as evidence in a criminal prosecution or claim filed or litigation or potential claims and litigation shall be preserved for 100 days after conclusion of the court action. Some records kept in ILEADS
83	Police Department	General	Administrative Reporting	Reports received and/or generated in the routine course of law enforcement activities.	CL+2Y	Activity Reports Arrest Processing Firearms Notifications Forcible Entry Reports Inmate Reimbursement Requests Serious Incident Reports Seized Vehicle Impound, Towing Records Trespass Law Enforcement Records Truancy Reports Vehicle Inspection, Inventory Reports Wrecker Service Reports	CA - CCP 339 - (LA2Y) CA - GOV 34090 - (2Y)	ILEADS
84	Police Department	Internal Investigations	Complaints, Investigations	Documentation of complaints received and investigations, including those by Internal Affairs, involving Police department employees (excludes officer involved shootings).	CL+5Y	Citizen Complaints Crime Reports Departmental Actions	CA - EVID 1045 - (AC+5Y) CA - GOV 12946 - (2Y) CA - PEN 801.5 - (4Y) CA - PEN 832.5(b) - (5Y) CA - VEH 2547 - (3Y)	Confidential. Some records kept in ILEADS.
85	Police Department	Security	Security Investigations	Documentation regarding internal, non-police investigations related to the security of City facilities, assets, and information.	CL+10Y	Internal Investigations Investigation Logs, Workpapers Investigator Reports, Findings, Notes	CA - GOV 34090 - (2Y) US - 26 USC 6531 - (LA6Y)	Confidential
86	Public Works/Engineering	Buildings	Building, Property Management	Records and information regarding the structure of City physical buildings and facilities.	LI*+10Y	Alarm System Records As-Built Blueprints Construction Records Electrical Wiring Schematics Floor Plans Key Lists Property Inventory	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - HSC 19850 - (LI)	* LI = Life of Building, Asset

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2016 Retention Schedule**

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Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
87	Public Works/Engineering	Buildings/Parks	Maintenance Inspection Reports	Reports of inspections of maintenance performed on City facilities including buildings, parks, streets, and sidewalks.	5Y	Inspections Logs Reports	CA - CCP 337 - (5Y) CA - GOV 34090 - (2Y)	
88	All Departments	Buildings/Parks	Maintenance, Repairs	Records and information regarding the ongoing maintenance and upkeep of City equipment, facilities parks and infrastructure.	5Y	Equipment Certifications ( <i>radar guns, lidar guns, personal alcohol screening devices, in-car video surveillance devices, mobile video devices</i> ) Horticulture HVAC Manuals, Repair Records Maintenance and Repair Work Orders Maintenance Reports Irrigation Landscaping Trees Benches	CA - CCP 337 - (5Y) CA - GOV 34090 - (2Y)	
89	All Departments	Fleet Management	Fleet Management, Maintenance	Records related to the purchase, management and maintenance of City vehicles.	LI*+2Y	Auction Vehicles California Bureau of Automotive Repair (BAR) Smog Records California Highway Patrol Biennial Inspection Terminal (BIT) Records Motor Vehicle Records and Reports Pool Tickets, Vehicle Logs, Usage Logs Registrations, Operating Permits Rental Work Orders Service Calls Tax Exemption Certificates Vehicle Certificates of Insurance Vehicle Inspections Vehicle License Plate Records Vehicle Maintenance Records, Repair Orders	CA - GOV 34090 - (2Y) US - 26 CFR 31.6501 - (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	
90	Public Works/Engineering	General Engineering	Land and Property Maps, Drawings	Maps and geographical information pertaining to properties within the City.	PR	Aerial Photos Assessment Districts Assessor Parcel Maps Building Site Determination Drainage Improvement Plans, Drawings Land Survey Maps Lot Line Adjustments Major Subdivisions (SD) Minor Subdivisions (MS) Parks Plats Record Maps Record of Survey Maps Redevelopment Vellums	CA - CCP 337.15 - (LA10Y) CA - GOV 34090d - (2Y) CA - HSC 19850 - (LI)	
91	Public Works/Engineering	Hazardous Waste	Hazardous Waste Monitoring and Remediation	Planning, monitoring and contingency/emergency action plans for hazardous waste, emergency and spill response, natural and exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, MSDS controls, training programs and procedures.	CL+30Y	Electronic Waste (E-Waste) Emergency Response Programs Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Substances Shipping Manifests Hazardous Waste Material Safety Data Sheets (MSDS) Proposition 65 Monitoring Radiation Exposure Records Radioactive Materials Site Mitigation Toxic Substance Inventory	CA - CalOSHA CA - CCP 338.1 - (LA5Y) CA - 8 CCR 3204d - (CL+30Y) CA - 17 CCR 30293(1) - (3Y) CA - 22 CCR 66262.40 - (3Y) CA - 22 CCR 66263.22 - (3Y) US - 29 CFR 1910.1020 - (CL+30Y) US - 29 CFR 1910.1025 - (CL+20Y) US - 29 CFR 1910.1050 - (CL+30Y) US - 40 CFR 268.7 - (3Y) US - 40 CFR 270 - (3Y) US - 49 CFR 172.201 - (3Y) US - 49 CFR 177.817 - (3Y)	
92	Public Works/Engineering	Projects	Public Works Project Administration	Records and information associated with the administration of public works, capital improvement and engineering projects.	CL+10Y	Certified Payrolls Construction Manager's Logs Daily Inspections Facilities Projects Field Inspections Project Schedules Progress Meetings Real Estate Appraisals RFIs & Responses	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y)	

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Rec. No.	Applicable Department(s)	Business Process	Record Category Name	Record Category Description	Retention	Sample Records from the Category	Citations	Comments
93	Public Works/Engineering	Streets	Traffic and Transportation Planning	Records and information of traffic engineering and transportation planning activities, including studies and surveys.	5Y	School-related Studies/Surveys Speed Surveys Street Sweeping Street/Highway Studies/Surveys Traffic Calming Requests Traffic Counts Transportation Planning	CA - GOV 34090 - (2Y)	
94	Public Works/Engineering	Streets	Traffic Control and Improvement	Records and information related to the City's efforts to manage and improve traffic and circulation.	2Y	Bicycles Enforcement Highway Corridors Impact Studies Pavement Management Plan Signals Signs Temporary Street Closures	CA - GOV 34090 - (2Y)	
95	Public Works/Engineering	Streets	Transportation Program Services	Records and information related to the City's efforts to provide effective methods by which people and materials move through the City.	2Y	Alternative Transportation Demand / Transportation Demand Management Transportation Systems Management (TDM) / Alternative Modes / Bicycle	CA - GOV 34090 - (2Y)	
96	Public Works/Engineering	Water/Air Management	Sewer, Water, Storm Water	Records and information associated with planning and maintenance of sewers, water, and storm water	CL+5Y	Backflow Prevention - Water Diversion Goals Environmental Conservation Environmental Programs Flood Control - Storm Water Meter Inventory - Sewer, Water NPDES (Engineering)- Sewer, Water, Stormwater Pipe Inventory Pollution Control Permits Storm Water Monitoring - Storm Water Storm Water Pollution Permits - Storm Water Water Agency Information - Water Water Runoff Testing - Water Weight Tickets Master Plan	CA - CCP 338 - (LA3Y) CA - CCP 338.1 - (LA5Y) CA - CAL OSHA US - 40 CFR 122.21 - (3Y) US - 40 CFR 122.41 - (3Y) US - 40 CFR 141.155 - (3Y) US - 40 CFR 261.32 - (3Y)	