



City of San Mateo, CA Retention Schedule

CL = Closed/Completion/Final Resolution CU = Current Year LI = Life (of contract, program, asset) MAJ = Age of Majority (18)
PR = Permanent S = Superseded/Overwritten T = Termination (personnel) Y = Years

Rec. No.	Applicable Department	Business Process	Record Category Name	Record Category Description	Official Retention	Category Examples	Comments	Office of Record
001	Applicable to Multiple Departments	Accounting	Accounts Payable	Records and information related to the accounting of monies paid by the City including payment for financial obligation, documenting bad debt, paying of employee expense reimbursement, money paid for fines or fees, services rendered, vendor credit cards, etc.	CU+4Y	Employee Credit Card Statements, Receipts Employee Expense Reports, Reimbursements Facilities Fees FEMA / OES Reimbursements Form 1099 Records Form W-9 Records Invoices and Vouchers Operating Invoices, Paid Payments Petty Cash Data Tuition Reimbursements Utility Invoices Vendor Invoices Voucher Listing by Check Run Date		Finance
002	Applicable to Multiple Departments	Accounting	Budget Planning and Workpapers	Records and information regarding the development of City, council, commission or departmental budgets.	4Y	Budget Planning Documents Budget Working Files Budget Workpapers, Worksheets Gann Limit Annual Review	This category is for formal forms submitted to Finance to create the budget. Departments' internal documents used to prepare the budget are considered working documents and not records.	Finance
003	Applicable to Multiple Departments	Accounting	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) Federal, State, Local Grants Domestic Violence Grants Enterprise Funds (<i>water, waste, housing</i>) Foundation Funding Gas Tax Grant Administration Grant Funding Grant Evaluations Property Taxes Funding Reports to Funding Agencies Special Revenue Funds Transportation Funding	* CL = Close of Grant, Plus All Final Audit Report Completed; Perpetual Grants Will Never Close 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	Finance
004	Applicable to Multiple Departments	Accounting	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	Attendance Records, Corrections Benefit Payments CalPERS Reporting Deduction Registers, Reports Deferred Compensation Employee Benefits Employee Deduction & Earnings Authorizations Employee Master Lists, Addresses Federal Tax Flex Spending Garnishment Orders, Receipts Payroll Checks, Copies, Stub Reports Payroll Journals Payroll Reports (<i>HRA, RMT, ICMA 457 accounts, Nationwide, Deferred Compensation</i>) Payroll Tax Returns Personnel Action Forms Processing Reports, Reports to Government Agencies Social Security Tax State Tax Time Sheets - Reports Unemployment Compensation Data, Weekly Earnings Data Unemployment Tax W-2 W-4 Wage Rate Tables Work Schedules		Finance



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Rec. No.	Applicable Department	Business Process	Record Category Name	Record Category Description	Official Retention	Category Examples	Comments	Office of Record
005	Applicable to Multiple Departments	Accounting	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.	CU+4Y	Bids, Awards (<i>Accepted</i>) Change Orders Exhibits Price Lists Proof of Insurance Certificates Purchase Orders Purchasing Cards/CalCards Purchasing Journals Purchasing Package Quotations Requisitions Requests for Information (RFI) Requests for Proposal (RFP) Requests for Quote (RFQ) Specifications Supplier Catalogs		Finance
006	Applicable to Multiple Departments	Accounting	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.	CU+2Y	Bids (<i>Unaccepted, Unsuccessful</i>)	suggestion from Clerk's Office to separate unsuccessful bids into a shorter retention period	applicable department
007	Applicable to Multiple Departments	Fees, Licensing, Permitting	Licenses, Permits	Documentation of licenses, non-building permits and other authorizations issued in the City.	CL+4Y	Alarms Annual Licenses Business Licenses, Applications, Renewals Encroachment Permits Entertainment Permits Handgun Permits Home Business Licenses Home Occupation Permits Massage Establishment Permits Massage Technician Permits Mobile Vendors, Peddlers Permits, Licenses Special Event Permits Taxis (<i>cabs, drivers</i>) Permits, Licenses Towing Permits Transportation Permits (<i>oversize, overweight</i>) Tree Removal Permits		applicable department
008	Applicable to Multiple Departments	Fees, Licensing, Permitting	Payments for Licenses, Permits	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 Encroachment Fees Facility Fees Fee Schedules Grading Fees Impact Fees Inspection Fees Oversize / Overweight Permit Fees Plan Review Fees Recreation Fees Tree Removal Permit Traffic Fees Water Systems (<i>including irrigation</i>) Fees		applicable department
009	Applicable to Multiple Departments	General	Business Continuity Plans	All documentation of City plans for dealing with disasters and/or system failures.	S+4Y	Continuity of Government (COG) Records Disaster Recovery Plan Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Operations Center		City Manager
010	Applicable to Multiple Departments	General	City Programs and Services	Records and information documenting the City's programs and services, such as parks and recreational programs and services, the City Services Academy, ESL City Government Academy	2Y	Adult Services Classes Applications Aquatics Cultural Activities Classes Facility Rentals (<i>use applications, permits, insurance</i>) Pesticide Reports Photo Release Registrations Forms Special Classes Special Events Special Recreation Classes Sports Groups / Sports Alliance Groups Sports and Fitness Classes Sports and Fitness Leagues Street Tree / Tree Requests Teen Services Classes Youth Services Classes Waivers of Liability Withdrawal Forms	* Repeat users of facilities remain active	lead department



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011	Applicable to Multiple Departments	General	General Administration	General internal administrative records of City departments.	2Y	<ul style="list-style-type: none"> Accident Reports (No Claim) Cross Departmental Committees Department Committees Department Goals, Objectives Department Meeting Agendas Department Meeting Minutes Department Plans Employee Desk Files Facility Rentals (use applications, permits, insurance) General Files In-House Committees / Employee Committees Office Files, Office Manager Files Organization Charts Staff Meetings Temporary Intern, Volunteer Staffing Volunteer Recognition Events 		applicable department or lead department
012	Applicable to Multiple 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*	<ul style="list-style-type: none"> Annual Reports City Generated Historical Studies / Reports City Manager Performance Indicators / Performance Measurements City Publications Historical Events, Artifacts, Architecture, Designations, Projects Historical Parks, Facilities List of Historic Properties Picture Collections Significant News Clippings, Releases Sister City Records 101st Airborne Records 	* Review every 20Y for further relevance	City Clerk
013	Applicable to Multiple 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	<ul style="list-style-type: none"> City Generated Routine Studies / Reports Contact Lists Badge Lists Daily Activity Logs Diaries, Notepads Files Index, Indices Inactive Records Storage Information Telephone Answer Pads, Book, Messages Telephone Directory Lists 		applicable department
014	Applicable to Multiple Departments	General	Mail, Print Services	Records and information regarding mail, printing and general office services operations.	2Y	<ul style="list-style-type: none"> Certified Mail Reports Cost Center Reports Event Planning, Administration Forms (Masters) Inventory Tracking Order Forms Postage Tracking Postal Records Printing Orders Travel and Itineraries 		applicable department
015	Applicable to Multiple Departments	General	Correspondence	Correspondence, memos, notes, and emails, whether internal or external that are not subject to another category.	2Y	<ul style="list-style-type: none"> Correspondence Chronological Files Email Employee Communication Letters, Announcements Enclosure Forms Form Letters Mailing List Change Memos Notes of Appreciation Notices Non-election issue-drive petitions 		applicable department
016	Applicable to Multiple Departments	General	Policies, Procedures, Plans and Programs	All documentation of City, agency, council, commission, special district or department policy and procedures.	CL+10Y	<ul style="list-style-type: none"> City-Approved Programs City-wide Plans/Programs Adopted Directives Guidelines Handbooks Policies Procedure Manuals Procedures Records Retention Schedule Rules / Regulations Standard Operating Procedures (SOPs) Strategic Plans 		applicable department
017	Applicable to Multiple Departments	General	Project and Subject Working Files	Records documenting specific activities related to a particular project or subject.	CL+2Y	<ul style="list-style-type: none"> Project Files Project Reporting Project Plan Risk Management Studies Subject Files Surveys / Questionnaires Working Files 		applicable department



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Rec. No.	Applicable Department	Business Process	Record Category Name	Record Category Description	Official Retention	Category Examples	Comments	Office of Record
018	Applicable to Multiple Departments	General	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 Records Transfers		City Clerk
019	Applicable to Multiple Departments	General	Reference Materials	Documents and materials retained for ongoing personal reference or ongoing research purposes not covered in a more specific process related series.	S	Records Inventory Templates (document, etc.)		applicable department
020	Applicable to Multiple Departments	General	Service Issues, Complaints	Documentation regarding department complaints and related requests for service.	CL+2Y	Customer Communications Help Desk Data, Tickets Issues Log Trouble Reports		applicable department
021	Applicable to Multiple Departments	General	Shipping and Receiving	Records related to the shipping and receiving of products.	2Y	Bills of Lading Freight Bills Manifests, Transfer Logs Waybills		applicable department
022	Applicable to Multiple Departments	Human Resources	Employee Training - Specialized or Technical	All documents related to specialized and/or technical education and training taken by paid employees and volunteers.	T+3Y	Asbestos training records Attendance Canine Deployment Training Certification Records Firearm and Field Training SWAT Training Training Bulletins		applicable department
023	Applicable to Multiple Departments	Human Resources	Employees' Personnel Files	Unless otherwise agreed upon by contract or required by law, all documents related to paid employees, including interns, including but not limited to: - hiring - promotion - demotion - transfer - layoff / recall / out-placement - termination / discharge / resignation - pay rates / other terms of compensation	T+10Y	ADA case files Applications, Applicant Reference Verifications Attendance Records Awards, Rewards, Commendations, Certificates 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 Individual Training Certification Records Goals Hiring Determination Review Decisions (<i>LiveScan, Criminal Offender-CORI</i>) Individual Employee Agreements, Contracts (copies) Individual Education, Development, Training Records Investigations Job Offer Letters Job Specifications Leave of Absence / LOA Oaths of Office Out-Placement Data Performance Evaluations, Reviews Performance Improvement Plans (PIPs) Personnel Action Forms Promotions, Recognition Resignations, Exit Interview Notes Unemployment Compensation Claims		Human Resources
024	Applicable to Multiple Departments	Human Resources	Personnel Files - Volunteers, Contractors	All documents related to unpaid volunteers, including but not limited to: - selection/hiring - assignments - transfer	T+10Y	Applications, Applicant Reference Verifications Attendance Records Awards, Rewards, Commendations, Certificates Cadet Volunteer Program Complaints Data Protection Forms (<i>Executed, Signed</i>) Volunteer Acknowledgements, Executed Policy Receipts Goals Instruction Contractor Agreements Individual Education, Development, Training Records, Certifications Investigations Recognition Resignations, Exit Interview Notes Roles, Responsibilities Transfers		applicable department



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Rec. No.	Applicable Department	Business Process	Record Category Name	Record Category Description	Official Retention	Category Examples	Comments	Office of Record
025	Applicable to Multiple Departments	Legal	Agreements, Contracts and Leases	Executed agreements between the City and other parties.	CL+12Y	Addendums Agreements/Contracts - ALL Amendments Attachments / Exhibits Contracts Contracts in Effect Disclosures Joint Power Agreement (JPA) Leases, Real Estate Leases, Attachments Letters of Intent License Agreements, Licenses Licensing, Licenses (general) Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Memorandum of Agreement / Understanding Payment Bonds Performance Bonds for Contracts Property Improvement Contracts Schedules Statements of Work (SOW) Surety Bonds Warranties		applicable department
026	Applicable to Multiple Departments	Litigation	Subpoenas - City not a party	Subpoenas where City is not party to the lawsuit	2Y	Subpoena for testimony or production of records		applicable department
027	Applicable to Multiple Departments	Public Records Act	Public Records Requests	Records requested by the public and related inquiries.	CL+2Y	Collection Lists Formal Public Records Requests Inquiries		City Clerk
028	Applicable to Multiple Departments	Reporting	Compliance Reporting	Official non-financial reports issued by City organizations to comply with regulatory requirements.	5Y	EEOC Reports Ethics training Labor Reports OSHA Reports P.E.R.S. Report Worker's Compensation Self-Insured Annual Reports		applicable department
029	Applicable to Multiple Departments	Security	Security, Access Video	Records and information regarding physical security for City buildings and facilities.	1Y	Security Camera (CCTV) Footage in parks, downtown garages, Police headquarters, library		Information Technology except for Police
030	City Attorney	General	Advice and Opinions	Records documenting legal counsel and advice on various matters.	S+10Y	Internal Client Communications Opinions		City Attorney
031	City Attorney	General	Intellectual Property	Documentation of copyrights, mask works, patents and trademarks filed and maintained by the City.	CL+20Y	Applications Assignments Copyrights Enforcement Actions Patents (original bound, application files) Registered Logos Terms of Use Trademarks		City Attorney
032	City Attorney	Litigation	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	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 Pleadings (Affidavits, Depositions, Exhibits, Court Filings) Settlement Agreements where there are no ongoing obligations Subpoenas - where City is party to the lawsuit	* CL = Final resolution of all claims, appeals	City Attorney
033	City Attorney	Litigation	Litigation Settlement Agreements	Settlement agreements that contain ongoing obligations.	PR	Settlement Agreements when there is an ongoing obligation, as in the case of certain personnel or property matters		City Attorney
034	City Clerk	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		City Clerk



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035	City Clerk	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 Nomination Papers Campaign Information Candidates Certificates of Election, Sample Ballots Certification of Election Results Fair Political Practices Commission Files Initiatives, Referenda (Referendum) Roster of Voters		City Clerk
036	City Clerk	Elections	Election Records - Signed Petitions	Signed petitions from registered voters to place a measure or candidate on the ballot.	1Y	Signed petitions		City Clerk
037	City Clerk	Elections	Proposition 218	Documentation related to Proposition 218 assessment elections records.	6 Months	Assessment Ballot Proceeding Ballots Property Related Fees Proposition 218		City Clerk
038	City Clerk	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		City Clerk
039	City Clerk	General	Statements of Economic Interest	Forms mandated by state law related to economic interests of certain employees, elected or appointed officials, or candidates for office.	CL+7Y	Form 460 (Campaign Statements) Form 700 (Economic Interest Statements, SEI) Form 801 Form 802 Form 806		City Clerk
040	City Clerk	Recording, Filing	Recorded Documents - Vital	Records and information pertaining to those original key documents recorded on behalf of the City.	PR	Abandonments Address Records Annexations Certificate of Correction City Incorporation Conveyances from the City (Deeds, Easements, Abandonments/Vacations) Conveyances to the City (Deeds, Easements, Dedications) Deeds Detachments Easements Grant Deeds Liens Notice of Completion Rights-of-Way Street / Alley Abandonments, Improvements Vacations		City Clerk
041	City Council	General	Appeals	Appeals made to City councils, commissions, boards, or special districts.	2Y	Appeals to Council Petitions to Appeal		City Clerk
042	City Council	General	Appointments	Appointments made by authorized elected officials to councils, committees, boards, commissions, task forces, other advisory groups, or public offices.	T+2Y	Applications (Appointed, Unsuccessful) Interview Notes Letters of Appointment Letters of Recommendation Oaths of Office Resumes Submitted Documents		City Clerk
043	City Council	General	Meetings - Records	Audio, video recordings of City commission, council, department, districts and agency meetings and speaker slips from said meetings.	2Y	Audio & Video Recordings - Councils, Commissions, Committees Speaker slips Proclamations		City Clerk
044	City Council	Meetings, Minutes	Official Meetings, Legislative Actions	Legislative and non-legislative actions that document policy development, including Council and Committee meeting minutes and Ordinances.	PR	Administrative Reports Commendatory Resolutions Meeting Minutes Minute Books & Index Municipal Code Ordinances Resolutions	* Many of these have historical value. Includes, but not limited to: - Bicycle & Trails Advisory Committee - Civil Service Commission - Community Development Block Grant Committee - Library Board - Parks & Recreation Advisory Commission - Planning Commission - Public Works Commission - Civic Arts Steering Committee - Senior Citizen Commission	City Clerk
045	City Council	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	Agendas Affidavits of Posting Affidavits of Publication / Legal Notices Public Hearing Notices	Brown Act challenges must be filed within 30 or 90 days of action; Statute of Limitations on Municipal Government actions is 3 - 6 months	City Clerk



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046	City Manager	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 Logo Permissions/Releases Mailers Media Packets, Releases, Kits Newspaper Clippings News, Press Releases Press Kits Public / Media Inquiries Public Information / Outreach / Education Publication Permissions/Releases Publications Produced by the City Publicity Files Publicity Photographs Social Media Documentation Special Events		City Manager
047	City Manager	Economic Development	Economic Development Initiatives and Services	Records and information documenting the City's economic development initiatives.	20Y	Appraisals Art Work Initiatives Business Improvement Districts Business Promotion Initiatives Business Recruitment Initiatives Community Activities Demographics Economic Development Strategy Redevelopment Agency Files Retail Incentive Initiatives		City Manager
048	Community Development	Code Enforcement	Code Compliance and Enforcement	Records and information documenting compliance with City codes, including violations. (Any cases requiring legal action shall be treated in accordance with litigation records.)	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 Zoning Compliance Certificates		Community Development
049	Community Development	Fees, Licensing, Permitting	Building Codes and Permits	Records and information documenting the City's building services activities.	PR	Building Codes Building Inspections Building Permits (<i>issued, active, expired, history</i>) Building Plans, Support Documents - Commercial & Residential Certificates of Occupancy Sign Permits		Community Development
050	Community Development	Housing	Housing Loan Programs	Records and information of the Housing Division relating to individual borrowers.	CL+50Y	Home Buyer Program Housing Loan Documents (<i>Promissory Notes, Trust Deed copies, Resales Restrictions, etc.</i>) Rehab Program Loans		Community Development
051	Community Development	Housing	Housing Programs	Records and information of the Housing Division's operations and programs.	CL+10Y	Applications Below Market Rate Units / Affordable Housing Cal Home Programs Community Development Block Grants (CDBG) Compliance Monitoring Consolidated, Annual Plans First Time Homebuyer Files Flood Zone Determinations (HUD) Foreclosure Prevention, Counseling HOME Program Rental Project HUD Reports (50058) Inclusionary Monitoring, Projects Predevelopment Loans RDA Assisted Programs Set-Aside Funds State Housing Financial Programs Tenant Files		Community Development



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052	Community Development	Planning and Zoning	Planning and Zoning Services	Records and information pertaining to the activities of the planning division, including zoning.	PR	Agricultural Preserve Archaeological / Cultural Resource Studies Design Review Development Regulations Downtown Parking Requirements E.I.R., Notice of Determination, Categorical Exemptions, etc. Environmental Reviews General Plan (<i>housing element, amendments, growth management element, noise element</i>) Historic Resource Studies Land Use Permits Landscape Master Plans Parking Calculations Planned Unit Development (PUD) Planning Applications Files Plans (<i>Specific Plans, Area Plans</i>) Public Use Reasonable Accommodation Applications Rezoning Summary of Actions Variances Water Zoning Zoning Administrator Decisions / Determinations Zoning Text Amendments		Community Development
053	Finance	Accounting	Abandoned Property, Escheat	Records and information pertaining to unclaimed funds and warrants held in trust by the City.	10Y	Cancelled Warrants (escheat) Uncashed Checks		Finance
054	Finance	Accounting	Accounts Receivable	Records and information related to the accounting of monies received by the City.	CU+4Y	Cash Receipts County Assessor/s Reports - City Assessments Credit Card Information Credit Card Slips, Statements Credit, Collections Aging Credit Memos Customer Payments Receivables Package, Receipts Treasurer's Receipts		Finance
055	Finance	Accounting	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.	CL+6Y	Annual Audit Reports Audit Files, Plans Audit, Auditors Reports Audit Schedules Audit Workpapers Disaster Response / FEMA OES Audit Waiver Letter Comprehensive Annual Financial Report (CAFR) General Purpose Financial Audits, Single Audits Improvement Plans Investigations, Workpapers Management Responses Observations Recommendations Remediation Plans / Results Responses		Finance
056	Finance	Accounting	Bank Account Information	Records and information related to banking activities, transactions and correspondence. This category includes deposits and reconciliations.	CU+4Y	Bank Account Administration Bank Statements (All Agencies) Checks, Canceled Check Registers, Journals Corrections / Returns Deposits Electronic Banking Reconciliations Transactions Transfers Voided Checks Wire Transfers		Finance
057	Finance	Accounting	Cost Accounting	Records and information tracking City costs.	CU+4Y	Billing Rates, Journal Cash Journals Month-End Cost Records		Finance
058	Finance	Accounting	Credit, Collections	Records and information generated or collected in the tracking of debtor transactions and balances.	CU+4Y	Accruals Bad Check Logs Bad Debt Reserves Credit, Collections Demand Registers Uncollectable Accounts Write-offs, Adjustments		Finance



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059	Finance	Accounting	Financial Reporting - Annual, Official	Official City financial reports required by regulations.	CU+4Y	Annual Report of Financial Transactions To State Annual State Controller Filings Audited Financial Statements EEOC Reports Possessory Interest Report / Lease Reports		Finance
060	Finance	Accounting	Financial Reporting - Periodic (Daily, Weekly, Monthly, Quarterly)	General financial reports generated to track financial transactions and achievements by the City.	CU+4Y	Account Ledgers Appropriations Transfers Balance Sheets Books of Account Chart of Accounts Depreciation Schedules Expenditure Reports Journal Entries Manual Accounting Ledger, Control Ledger Monthly Treasurer's Report Quarterly Investment Report Revenue Sub-Ledgers Weekly Reports Worker's Compensation Actuarial Studies		Finance
061	Finance	Accounting	General Ledger	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	General Ledger Trial Balance Year -End / Account Detail History Report		Finance
062	Finance	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.	CL+10Y	Acquisitions Amortization Asset Retirement Records Attachments Buildings Capital Asset Records Capital Improvements Deeds Deeds of Trust Excess Right of Way Fixed / Capital Asset Accounting Fixed Asset Ledger Land Mortgages Parkland Possessory Interest Sales Valuation Information		Finance
063	Finance	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		Finance
064	Finance	Budgets, Planning	Financial, Strategic Planning	Records and information relating to financial planning.	2Y	Business Plans Financial Plans Forecasts Interim Results Revenue Forecasts Strategic Plans		Finance
065	Finance	Treasurer	Investments	Records and information relating to analysis of City financing and investment activities.	CL*+10Y	Bonds Bonded Indebtedness Cash Bonds Certificates of Deposit (CDs) Certificates of Participation Direct Investments Due Diligence Investment Performance Reporting Investment Reporting Loans Local Agency Investment Fund (LAIF) Performance Bonds, Letters of Credit Portfolio Management, Quarterly Reviews Trust Accounts	* CL = Maturity of Investment	Finance
066	Fire Department	Fire Operations	Case Files	Records and information associated with department responses to fires and emergency incidents.	CL+10Y	FEMA Reports Log Books	As of January 13, 2019 the San Mateo City Fire Department was dissolved and fire service was transferred to San Mateo Consolidated Fire Department	Fire
067	Fire Department	Fire Operations	Fire Equipment	Records and information associated with fire apparatus.	CL+2Y	Apparatus and Maintenance Records Equipment Checks	As of January 13, 2019 the San Mateo City Fire Department was dissolved and fire service was transferred to San Mateo Consolidated Fire Department	Fire



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068	Fire Department	Fire Protection, Prevention	Arson Investigations	Records and information associated with arson investigations.	PR	Evidence Files Investigations	As of January 13, 2019 the San Mateo City Fire Department was dissolved and fire service was transferred to San Mateo Consolidated Fire Department	Fire
069	Fire Department	Fire Protection, Prevention	Case Files	Records and information associated with department responses to fires and emergency incidents.	CL+6Y		As of January 13, 2019 the San Mateo City Fire Department was dissolved and fire service was transferred to San Mateo Consolidated Fire Department	Fire
070	Fire Department	Fire Protection, Prevention	Fire Inspections, Approvals, and Records of Fires	Records and information associated with inspections of commercial and residential facilities. Records and information associated with department responses to fires and emergency incidents.	LI	Commercial Facility Property Files (CIP, MRIP) Residential Property Files Incident Reports Non-Arson Related Investigations Fire Marshal Approvals	As of January 13, 2019 the San Mateo City Fire Department was dissolved and fire service was transferred to San Mateo Consolidated Fire Department	Fire
071	Fire Department	Fire Protection, Prevention	Fire Prevention Programs	Records and information associated with department programs to protect the City from fires and emergency incidents.	2Y	Fire Education (Pub Ed)	As of January 13, 2019 the San Mateo City Fire Department was dissolved and fire service was transferred to San Mateo Consolidated Fire Department	Fire
072	Human Resources	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 (<i>Health, Life, Vision, Dental, LTD, etc.</i>) Group Insurance Cost Data Retirement System Summary Plan Descriptions Supplemental Forms	* LI = Life of Plan or System	Human Resources
073	Human Resources	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 (<i>Compensation, Complaints/Disputes, FMLA Requests, Parental Leave Forms, Paid/Unpaid Leave</i>) 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 P.E.R.S. Information, Actuarial Reports Premium Information Required Benefits Reporting Retirement Loans / Retirement		Human Resources
074	Human Resources	Human Resources	Collective Bargaining	Documentation related to the negotiations between labor unions for collective bargaining purposes.	CL+30Y	Contract Negotiations Meet and Confer Memoranda of Understanding (<i>copies</i>)(MOUs) Union Communications Union Petitions		Human Resources
075	Human Resources	Labor Management	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		Human Resources
076	Human Resources	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	Audiometric test records Employee Hazardous Chemical Exposure Exposure Monitoring Firearms and Field Exposure Hazardous Exposure Material Data Safety Sheets (MSDS) Radiation Exposure Records Toxic Substance Exposure Records Worker's Compensation Benefits (<i>Awards, Claims, Orders</i>)		Human Resources
077	Human Resources	Staffing	Employee Training - General	All documents related to general education and training taken by paid employees and volunteers.	5Y	Attendance records Certification Records Compliance Training		Human Resources



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Rec. No.	Applicable Department	Business Process	Record Category Name	Record Category Description	Official Retention	Category Examples	Comments	Office of Record
078	Human Resources	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 Postings, Announcements Job Requisition Requests Job Specifications Miscellaneous Hiring Process Notes Position Information Recruitment Test Results (<i>Non-hires</i>)		Human Resources
079	Human Resources	Staffing	Salary, Compensation	Documentation of position and employee compensation.	5Y	Classification Studies Compensation Plans, Planning, Analysis Cost of Living Job Descriptions Job Evaluation Documentation Salary Schedules Salary Surveys		Human Resources
080	Human Resources	Staffing	Training Materials	Documentation regarding legally mandated courses offered to employees	S+6Y	Presentation Materials PowerPoint Slide Decks Testing or assessment		Human Resources
081	Human Resources	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		Human Resources
082	Information Technology	Information Technology	Application, System Development	Technical documentation related to development of City technology processes, applications, or systems, as well as conversions, changes or modifications to existing applications or systems.	LI*	Business, Functional Requirements Change Requests Data Element Attribute Reports Database Dictionary / Schema Data Migration Documentation End User Documentation, User Manuals Hardware Configurations Program/Application/System Listings Source Code Support Documentation (<i>Logical & Physical Architectural Diagrams, Specifications, Systems Support Materials</i>) System Documentation (<i>Codebooks, Record Layouts, Reference Guides, Specifications</i>) System Test Files Telecommunications System (<i>Telephones, Phones</i>)	* LI = Life of Application, System	Information Technology
083	Information Technology	Information Technology	Application, System Maintenance	Technical documentation related to ongoing maintenance of City technology processes, applications, or systems.	CU+2Y	Audit Records of Run Completions Backups (<i>Security, System</i>) Joint Dispatch Center Network/Equipment Control Support Documentation (<i>Service Histories, Site Visit Reports, Trouble Reports</i>) Network Circuits Inventories System, Application Maintenance Documentation (<i>Hardware/Operating System Requirements, Monitoring Logs, Operating Manuals</i>)		Information Technology
084	Information Technology	Information Technology	Technology Access and Security	Records and technical documentation of internal controls and system security. Includes data / information security breaches, notifications, and supporting documentation.	CL+6Y	Annual Database & System Security Reviews Audit Trail Files Automated Logs Change Management Case Files Computer Usage Files Data Breach Notifications Data Breach Response Data Sets, Extracted Data Summaries Forensics Hardcopy Publication, Printouts of Report Data Usage Reports (<i>Summary, System</i>) User Access Records (<i>Passwords, Security Logs, User Accounts, Log-in Files, Data Entry Logs, Accounts</i>) User Incident, Response Files Security Access Request Forms Special Access Approvals Vulnerability Scan Reports		Information Technology
085	Library	General	Library Records	Records and information related to the City's library programs and services.	CL	Borrow, Loan Records Catalog of Holdings		Library
086	Library	General	Passport Acceptance	Records and information related to services performed by the City's library system in support of federal passport programs.	2Y	Passport Acceptance Transmittals		Library
087	Parks and Recreation	General	Inspection Records	Records and information documenting safety and related inspections of playground equipment.	CL+18Y	Playground Inspections	* Repeat users of facilities remain active	Parks & Recreation



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088	Police Department	Case Files	Dead Bodies	Records, crime reports and evidence associated with investigations of dead bodies, whether by natural causes or found.	CL*+2Y	Reports Statements	* CL = Case remains active until body has been identified and cause of death determined. If determination is made that the death was a homicide, records are recategorized as "Felony Murder/Homicide" case files (see #xxx, below).	Police
089	Police Department	Case Files	Felonies, Excluding Murder	Records, crime reports and evidence associated with felony violations of laws, excluding homicide and capital violations.	CL*+10Y	AB 109 Case Status Reports Chemical Analysis Records Complaint Reports Court Dispositions Court Orders Crime Analysis Records Diagrams Extradition Records Factually Innocent Fingerprint Records, Latent Fingerprints Interview Records Investigations Investigative Reports Laboratory Tests Officer's Notes Original Arrest Reports Permission to Search Requests Photographs PRCS Cases Special Expenditure Reports Statements of Seized and Returned Property Warrants	* CL = Final resolution is defined as case has been adjudicated, all appeals exhausted or all time served. Provided there are not outstanding warrants, deaths, and it is not classified under PC §800 and 290 and HSC §11850; Statute of limitations is 2 years; Destroy juvenile marijuana after age 18; HSC §11361.5; GC §34090, PC §802, PC §187, 800 et seq	Police
090	Police Department	Case Files	Felony Murder/Homicide, Capital Offenses, and Violations of Public Trust	Records, crime reports and evidence associated with capital felony violations of laws, including homicide, embezzlement of public funds, or falsification of public documents.	PR	Case Status Reports Chemical Analysis Records Complaint Reports Court Dispositions Court Orders Crime Analysis Records Diagrams Extradition Records Fingerprint Records, Latent Fingerprints Interview Records Investigative Reports Laboratory Tests Officer's Notes Original Arrest Reports Permission to Search Requests Photographs Statements of Seized and Returned Property Warrants	No limitation on commencement of action; PC §261 , 286, 288, 288a, 288.5, 289, 289.5, and 799.	Police
091	Police Department	Case Files	Juvenile	Records, crime reports and evidence associated with criminal cases dealing with juveniles.	Longer of: MAJ+8Y* (or) SEAL+5Y*	Child Protective Services (CPS) Factually Innocent Juvenile Files - 300s, 600s Sealed Juvenile Files Warrants	*MAJ = Age of Majority Status (18Y); SEAL = Date Records Sealed Statute of limitations runs up to age of majority + 8 years; Sealing for juveniles and Wards of the Court retained for 5 years; CP §340.1; GC §34090; WIC §781(d); WIC §826(a)&(b); WIC §781(a).	Police
092	Police Department	Case Files	Misdemeanors, Infractions	Records, crime reports and evidence of misdemeanors and infractions, including citations.	CL+2Y	Citations Injury Collisions (Non-fatal) Marijuana Moving Violations Parking Enforcement Standardized Field Sobriety Tests Traffic Tickets Warrants		Police
093	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)	* Case is only closed once solved	Police
094	Police Department	Case Files	Officer Involved Shootings	Records, crime reports and evidence associated with criminal cases dealing with officer involved shootings.	PR			Police
095	Police Department	Case Files	Sealing of Adult Records	Records of court orders to seal the records of adults.	SEAL+3Y*	Court Order Petition Letter	* From the date the records were sealed.	Police
096	Police Department	Case Files	Sexual Assault, Sexual Assault with Child Victims	Records, crime reports and evidence associated with stolen property.	CL*+20Y		* Case is only closed once solved	Police
097	Police Department	Case Files	Stolen Property	Records, crime reports and evidence associated with stolen property.	CL*+3Y		* Case is only closed once solved	Police
098	Police Department	Case Files	Traffic Collisions - Fatal	Records, crime reports and evidence associated with traffic collisions involving fatalities.	PR			Police
099	Police Department	Criminal Registrations	Drugs, Gangs	Records for those required to register as drug or gang violence offenders.	5Y			Police



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Rec. No.	Applicable Department	Business Process	Record Category Name	Record Category Description	Official Retention	Category Examples	Comments	Office of Record
100	Police Department	Criminal Registrations	Sex Offenders, Arsonists	Records for those required to register as sex offenders or arsonists.	LI*		* LI = Life of the offender, arsonist	Police
101	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	* 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.	Police
102	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 Juvenile Diversion Program Records Pawn shop receipts Ride-Along Initiative Records Serious Incident Reports Shift Assignments Seized Vehicle Impound, Towing Records Trespass Law Enforcement Records Truancy Reports Vehicle Inspection, Inventory Reports Wrecker Service Reports		Police
103	Police Department	General	Public, Health Services and Community Education, Outreach	Records and information documenting the City's educational and community services.	2Y	CERT (Community Emergency Response Training) Drug / Alcohol Education / Community Training Emergency Action Plans Emergency Forms Street Smart Initiatives Youth Violence Prevention Education / Community Training		Police
104	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		Police
105	Police Department	Seized Property	Seized Property Records	Records documenting tracking and management of physical property seized by the Police department, but not considered as evidence in a criminal investigation, including: - Bicycles - Electronics - Guns - Hazardous Materials (e.g., fireworks) - Narcotics - Vehicles	CL+2Y	Confiscated Property Lists Disposition Records Evidence Tracking Physical Evidence Examination Requests Property Auction Manifests Stolen/Recovered Property Documentation Unclaimed Property Reports		Police
106	Public Works	Facilities	Building, Property Management	Records and information regarding the structure of City physical buildings and facilities.	LI*+10Y	Records regarding location and quantity of asbestos Construction Records Electrical Wiring Schematics Floor Plans Property Inventory	* LI = Life of Building, Asset	Public Works
107	Public Works	Facilities	Maintenance Inspection Reports	Reports of inspections of maintenance performed on City facilities including buildings, parks, streets, and sidewalks.	5Y	Inspections (e.g., inspection of HVAC systems for building ventilation) Logs Reports (e.g., fire sprinkler maintenance reports)		Public Works
108	Public Works	Facilities	Maintenance, Repairs	Records and information regarding the ongoing maintenance and upkeep of City equipment, facilities and infrastructure.	5Y	Equipment Certifications (<i>radar guns, lidar guns, personal alcohol screening devices, in-car video surveillance devices, mobile video devices</i>) Horticulture Irrigation Landscaping Maintenance and Repair Work Orders Maintenance Reports (buildings, parks, streets, sidewalks) Street Sweeping Trees		Public Works
109	Public Works	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	* LI = Life of Vehicle	Public Works



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110	Public Works	Fleet Management	Fuel Management	Records related to the purchase, tracking and management of fuel for City vehicles and travel by City employees.	4Y	Bay Area Air Quality Management District (BAAQMD) Permits (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		Public Works
111	Public Works	General	Land and Property Maps, Drawings	Maps and geographical information pertaining to City properties.	PR	Aerial Photos Assessor Parcel Maps Improvement Plans, Drawings Land Survey Maps Lot Line Adjustments Major Subdivisions (SD) Minor Subdivisions (MS) Parcel Mergers Plats Record Maps Record of Survey Maps		Public Works
112	Public Works	General	Public Works Project Administration	Records and information associated with the administration of public works, capital improvement and engineering projects.	CL+10Y	Certified Payrolls Change Orders Progress Payments Real Estate Appraisals RFIs & Responses Submittals		Public Works
113	Public Works	General	Public Works Project Files	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 Certificates of Compliance/Notice of Non-Compliance Development Fee Book Drainage Permits E.I.R., Notice of Determination, Categorical Exemptions Encroachment Permits, Certificates Environmental Impact Statements Final Improvement Plans Insurance Certificates Materials Testing Reports Photos/Pictures Soils Reports / Geotech Studies Standard Plans		Public Works
114	Public Works	Traffic, Transportation	Traffic and Transportation Planning	Records and information of traffic engineering and transportation planning activities, including studies and surveys.	2Y	School-related Studies/Surveys Speed Surveys Street/Highway Studies/Surveys Traffic Calming Requests Traffic Counts Transportation Planning		Public Works
115	Public Works	Traffic, Transportation	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 Signals Signs Temporary Street Closures		Public Works
116	Public Works	Traffic, Transportation	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		Public Works
117	Public Works	Waste Management	Air, Sewer, Water and Solid Waste	Records and information associated with planning and maintenance of sewers, waste, water, and land use.	CL+5Y	Backflow Prevention Diversion Goals Environmental Conservation Environmental Initiatives Flood Control Meter Inventory NPDES (Engineering) Pipe Inventory Pollution Control Permits Recycling (campaigns, events, reports) Storm Water Monitoring Storm Water Pollution Permits Treatment Plan Underground Service Alerts (USA) Waste Water Reclamation Water Management Information Water Runoff Testing Weight Tickets		Public Works



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118	Public Works	Waste Management	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 Initiatives Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Substances Shipping Manifests Hazardous Waste Landfill Records Material Safety Data Sheets (MSDS) Proposition 65 Monitoring Radiation Exposure Records Radioactive Materials Site Mitigation Superfund Project Records Toxic Substance Inventory Trash Services		Public Works
119	Risk Management	Insurance	Claims Management	Records detailing claims against insurance coverage by the City, including appraisals and reports.	CL+10Y	Accident/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		City Attorney