



# STAFF REPORT

## SAUSALITO CITY COUNCIL

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### AGENDA TITLE:

Adopt Resolution amending Resolution No. 4918 to include "Finance: Administrative Services, Accounting Services, and Human Resources" as a part of Exhibit A of said resolution

### RECOMMENDED MOTION:

Adopt resolution as a part of the Consent Calendar

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### SUMMARY and BACKGROUND

On October 2, 2007, Council adopted Resolution No. 4918 adopting a records retention schedule. Attached to the resolution were schedules appropriate to the City of Sausalito. Unfortunately, since adoption of Resolution No. 4918, it was noted that the Finance section had inadvertently been dropped from the approved attachments.

As a Finance retention schedule is imperative to the City of Sausalito, an amendment to Resolution No. 4918 has been prepared in order to include this vital section.

### ISSUES

Without the Finance section being included in the adopted records retention schedule, there will be no management of the masses of documents/paper that continue to accumulate without such retention schedule.

Additionally, during the initial review of documents to be scheduled for destruction, it was found that there were certain categories which needed to be expounded on in the Finance schedule. The categories of Accounting and Parking have thus been added and are now included with the Finance schedule. These additions are included in the Finance schedule as items #63-74.

(As requested, the first list of documents being prepared for destruction will be presented at your March 25 City Council meeting.)

### FISCAL IMPACT

None

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Item #: 4BZ  
Meeting Date: 03-04-08  
Page #: 1

**STAFF RECOMMENDATIONS**

Adopt the attached resolution amending Resolution No. 4918 to include "Finance: Administrative Services, Accounting Services, and Human Resources" in Exhibit "A", including the recommended amendment.

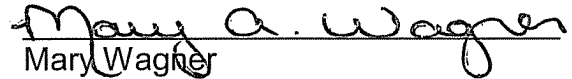
**ATTACHMENTS**

Draft resolution, along with the Finance records retention schedule

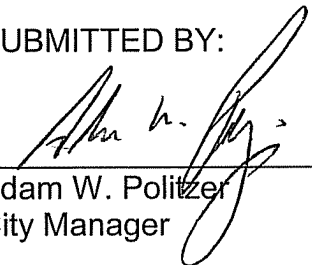
PREPARED BY:

REVIEWED BY:

  
\_\_\_\_\_  
Debbie Pagliaro  
Assistant to the City Manager

  
\_\_\_\_\_  
Mary Wagner  
City Attorney

SUBMITTED BY:

  
\_\_\_\_\_  
Adam W. Politzer  
City Manager

RESOLUTION NO. \_\_\_\_\_

**A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SAUSALITO  
AMENDING RESOLUTION NO. 4918, ADOPTING A RECORDS RETENTION  
SCHEDULE AND AUTHORIZING THE DESTRUCTION OF RECORDS**

**WHEREAS**, on October 2, 2007, the Sausalito City Council adopted Resolution No. 4918, A Resolution of the City Council of the City of Sausalito Adopting A Records Retention Schedule and Authorizing the Destruction of Records Pursuant to the Records Retention Schedule, in Compliance with the California State Archives Records Retention Guidelines; and

**WHEREAS**, attached to Resolution No. 4918 as Exhibit "A" were the records retention schedules applicable to the City of Sausalito; and

**WHEREAS**, it was found that the records retention schedule attached as Exhibit "A" to Resolution No. 4918 was missing the section which included "Finance: Administrative Services, Accounting Services, and Human Resources"; and

**WHEREAS**, during an initial inventory of documents, it was found that additional categories were needed within the Finance schedule; and

**WHEREAS**, it is imperative that the Finance section be included with the overall City of Sausalito Records Retention Schedule.

**NOW, THEREFORE, BE IT RESOLVED** that Resolution No. 4918 is hereby amended to include "Finance: Administrative Services, Accounting Services, and Human Resources", with the recommended amendment, as an integral part of Exhibit "A" of said resolution; and that a full and complete copy of Exhibit "A" of Resolution No. 4918, including the Finance section stated above, is hereby attached to this resolution.

**PASSED AND ADOPTED** at a regular meeting of the Sausalito City Council on the \_\_\_\_\_ day of \_\_\_\_\_, 2008, by the following vote:

AYES:           COUNCILMEMBERS:  
NOES:           COUNCILMEMBERS:  
ABSENT:        COUNCILMEMBERS:  
ABSTAIN:       COUNCILMEMBERS:

\_\_\_\_\_  
MAYOR OF THE CITY OF SAUSALITO

ATTEST:

\_\_\_\_\_  
DEPUTY CITY CLERK

4B2  
3

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |        |          |
|---|----------------------------------|-------------------|---------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE |        |          |

| FINANCIAL |  |       |    |       |     |  |
|-----------|--|-------|----|-------|-----|--|
| 1         | Agreements, Contracts & Leases<br>Executed documents, amendments & exhibits  | CL    | 10 | CL+10 | -   | Note: For this record series, CL (Closed/Completed) represents completion of all terms of the agreement or contract.<br>Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period due to the 10 yr statute of limitations of CCP337.15 for construction defect cases.  |
| 2         | Assessment District  | P     | -  | P     | V,H | Note: Collection information; original documentation files with municipal clerk<br>Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per GC34090.  |
| 3         | Audit & Tax Reports to State Agencies;<br>Final reports;<br>Source materials and backup data;<br>Procedures for preparation;                                       | CU+10 | -  | CU+10 | -   | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per GC34090 and possibly due to the 10 yr statute of limitations of CCP 337.15 for construction defect cases.  |
| 4         | Bids/Proposals Files (Successful Bidders)<br>Requests for bids/proposals;<br>Specifications & backup data;<br>Agreements/contracts; and<br>Bids/proposals received | CL+1  | 9  | CL+10 | -   | Note: For this record series, C (Closed/Completed) represents completion of all terms of the executed contract or agreement with the organization submitting the successful bid or proposal.<br>Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period due to the 10 yr statute of limitations of CCP 337.15 for construction defect cases. |

Item No.: 6.D

Meeting Date: 5-01-07

Page #: 41

RETENTION CODES: AR = Annual Review A = Audit  
EL = Election Date \* = See Notes for Descriptor T = Termination  
V = Vital H = Historical C = Confidential

P = Permanent S = Superseded CU = Current Year

E = Expiration

CL = Closed/Completed

A = Audit

\* = See Notes for Descriptor

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4B2  
4

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |       |        |          |
|---|----------------------------------|-------------------|---------|-------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         |       | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE | TOTAL |        |          |

|   |  |    |    |       |     |  |
|---|--|----|----|-------|-----|--|
| 5 | Bonds  | CL | 10 | CL+10 | V   | Note: Final bond documentation; drafts are not retained. Authority: GC34090; CCP337.5 based on statute of limitations CCP 337.15 for construction  |
| 6 | Budgets<br>Final budget documents  | P  | P  | P     | H   | Note: This series is for the final budget documents only. Budget development files are held by Finance Department. Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period under GC34090 which does not authorize the destruction of records affecting title to property or liens thereon. |
|   | Operating  | S  | -  | S     | V,H | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period under GC34090; however, given its historical value the Department may consider retaining this item at least 2 years before destruction.  |
| 7 | Franchise Files<br>Agreements;<br>Bonds/Certificates of insurance;<br>Statements & reports; and<br>FCC forms | CL | P  | P     | H   | Note: For this record series, C (Closed/Completed) represents completion of all terms of the franchise agreement. Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period under GC34090 which does not authorize the destruction of records affecting title to property or liens thereon.  |
| 8 | Property Taxes Records<br>Assessed values total statements;<br>Reports & studies;                            | P  | -  | P     | -   | Authority: GC34090(a)  |
| 9 | Revenues Files:<br>Revenues reports & studies;<br>Correspondence & backup data                               | P  | P  | P     | -   | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period under GC34090 which does not authorize the   |

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Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 42

5/2

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| FINANCE: ADMINISTRATIVE SERVICES,<br>ACCOUNTING SERVICES, and<br>HUMAN RESOURCES |                                  | DATE: April, 2007 |         |        |          |
|--|----------------------------------|-------------------|---------|--------|----------|
| Item No.   | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|  |                                  | OFFICE            | STORAGE |        |          |

|    |  |   |   |   |   |
|----|--|---|---|---|---|
| 10 | Sales Tax Records<br>Sales tax revenue reports | P | P | P | destruction of records affecting title to property or liens thereon.<br>Authority: GC34090(a) |
|----|--|---|---|---|---|

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 43

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482  
6

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| FINANCE: ADMINISTRATIVE SERVICES,<br>ACCOUNTING SERVICES, and<br>HUMAN RESOURCES |   | RETENTION |         |       | V.H.C. | COMMENTS   |
|--|---|-----------|---------|-------|--------|--|
|  |   | OFFICE    | STORAGE | TOTAL |        |  |
| Item No.   | RECORD SERIES TITLE AND CONTENTS  |           |         |       |        |  |
| 11   | Special Assessment Districts Files:<br>Includes the Public hearings documentation | P         | -       | P     | H      | Authority: GC34090(a)  |
| <b>RISK MANAGEMENT</b>   |   |           |         |       |        |  |
| 12   | Certificates of Insurance   | P         | -       | P     |        | Note: Compliance, elevation, occupancy which affect real property Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090.                          |
| 13   | Certificates of Liability   | E+1       | P       | P     | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090.  |
| 14   | Claims (Against the City) Files   | CU+2      | -       | CU+2  | -      | Duplicate series. Official is held by claims adjustor or assigned attorney. Authority: GC34090.7   |
| 15   | Claims Loss Runs (Fiscal Year End)  | CU+5      | -       | CU+5  | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090.  |
| 16   | Claims Loss Runs (Monthly)  | CU+2      | -       | CU+2  | -      | Note: Information from the monthly loss runs is restated in the fiscal year end report. Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090(d). |
| 17   | Insurance Certificates (Businesses Operating in the City)                         | E+2       | -       | E+2   | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090(d).   |

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 Item No.: 6.D \* = See Notes for Descriptor T = Termination  
 Meeting Date: 5-01-07 H = Historical C = Confidential  
 Page #: 44

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | <b>DATE: April, 2007</b> |       |        |          |
|---|----------------------------------|--------------------------|-------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION                |       | V.H.C. | COMMENTS |
|   |                                  | OFFICE                   | TOTAL |        |          |

|    |   |             |             |             |                   |   |
|----|---|-------------|-------------|-------------|-------------------|---|
| 18 | Insurance - Other<br>Liability/Property<br>Workers Compensation   | P<br>P<br>P | -<br>-<br>- | P<br>P<br>P | V,H<br>V,H<br>V,H | Note: Includes Certificates of Insurance [filed separately from contracts, and includes insurance filed by licensees]<br>Note: May include liability, property, Certificates of Participation, deferred used of facilities<br>Note: Includes: Indemnity; PERS - working files; originals with Administrator/Human Resources Manager<br>Authority: As for liability/property insurance, GC74090(a)<br>Authority: As for the workers compensation related items above, there is no specific statutory authority for the retention of these items; however, the Secretary of State has recommended these retention periods per the authority of GC34090. |
| 19 | Letters of Credit   | T+5         | -           | T+5         | -                 | Note: For this record series, T (Termination) represents termination of credit agreement.<br>Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period.   |
| 20 | Reports/Studies   | CL+2        | -           | CL+2        | -                 | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090(d) which does not authorize the destruction of records less than 2 years old.  |
| 21 | Tort Claim Administrative Files<br>Budgets and financial statements;<br>Reports & studies;<br>Bulletins & publications; and<br>Meetings agendas | CU+5        | -           | CU+5        | -                 | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period.  |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 45

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482



RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| FINANCE: ADMINISTRATIVE SERVICES,<br>ACCOUNTING SERVICES, and<br>HUMAN RESOURCES |  | RETENTION |         |       | V.H.C. | COMMENTS  |
|--|--|-----------|---------|-------|--------|---|
|  |  | OFFICE    | STORAGE | TOTAL |        |   |
| Item No.   | RECORD SERIES TITLE AND CONTENTS   |           |         |       |        |   |
| 22   | Workers Compensation Insurance Policies  | S         | P       | P     | H      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090.   |
| 23   | Workers Compensation Insurance Administration Records:<br>Loss analysis; and<br>Statements | CU+5      | -       | CU+5  | H      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period. Given their historical value, the Department may consider retaining for a minimum of 2 years once an item is superseded or no longer needed.   |
| <b>PERSONNEL</b>   |  |           |         |       |        |   |
| 24   | Action Requests/ Grievances  | CU+2      | -       | CU+2  | H,C    | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per sections GC6254 and Information Practice Act (see Civil Code 1798.40) which do not discuss retention periods. Given its historical value, the Department may consider retaining for a minimum of 2 years once the item is superseded or no longer needed. |
| 25   | Applications and Referral Records  | CU+2      | -       | CU+2  | H      | Note: If pending civil action, retain until litigation resolved.<br>Authority: GC12946  |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 46

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482  
9

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

DATE: April, 2007

FINANCE: ADMINISTRATIVE SERVICES,  
ACCOUNTING SERVICES, and  
HUMAN RESOURCES

| Item No. | RECORD SERIES TITLE AND CONTENTS  | RETENTION |         |       | V.H.C. | COMMENTS  |
|----------|---|-----------|---------|-------|--------|---|
|          |   | OFFICE    | STORAGE | TOTAL |        |   |
| 26       | Awards, Commendations, Superior Accomplishments                                     | CU+3      | -       | CU+3  | H      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per sections GC6254 and Information Practice Act (see Civil Code 1798.40) which do not discuss retention periods. Given its historical value, the Department may consider retaining for a minimum of 2 years once the item is superseded or no longer needed.   |
| 27       | Compliance Requirements   | S         | -       | S     | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.   |
| 28       | Duty Statements   | S         | -       | S     | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.   |
| 29       | Employee Benefits Administration Records<br>Plan documents; and<br>Enrollment forms | P         | P       | P     | V      | Note: Benefits records are also held by the administering organization (PERS).<br>Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per the authority of 29 USC 1113 which provides for a three or six year statute of limitations on actions re: breach of fiduciary duty. Given its historical value, the Department may consider retaining for a minimum of 2 years once the item is superseded or no longer needed. |

Item No.: 6.D  
Meeting Date: 5-01-07  
Page #: 47

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482  
10

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |       |        |          |
|---|----------------------------------|-------------------|-------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |       | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | TOTAL |        |          |

| Item No. | RECORD SERIES TITLE AND CONTENTS  | OFFICE | TOTAL | STORAGE | V.H.C. | COMMENTS   |
|----------|---|--------|-------|---------|--------|--|
| 30       | Employee Records  | C+2    | C+2   | -       | V,H,C  | Note: Includes current and terminated/former employees' records: application, personnel, membership, or employment referral records. For Public Safety/Law Enforcement records pertaining to administrative investigations or citizen complaints against peace officer, refer to Police Department Record Retention Schedule. "C" in this records series means "until employee leaves or terminates". These records are confidential subject to certain conditions for disclosure. Please consult City Attorney's Office. Includes records pertaining to "attendance". If pending subject to pending complaint, retain until litigation resolved. Authority: GC12946 |
| 31       | Human Resources Policies  | C+7    | C+7   | -       | V,H    | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per without citing any authority. Given its historical value, the Department may consider retaining for a minimum of 2 years once the item is superseded or no longer needed.  |
| 32       | MOU Agreements<br>Includes certificates, agreements, plans, notices, memoranda summarizing terms of oral agreements | CL+3   | CL+3  | -       | -      | Note: "CL" in this record series is close/termination of agreement. Authority: 29 CFR 516.5  |
| 33       | Organization Charts   | S+2    | S+2   | -       | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.  |
| 34       | Procedures (Including Emergency Preparedness)   | S+2    | S+2   | -       | -      | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.  |

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Item No.: \_\_\_\_\_  
 Meeting Date: 5-01-07  
 Page #: 48

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |        |          |
|---|----------------------------------|-------------------|---------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE |        |          |

|                   |                          |      |   |      |   |   |
|-------------------|--------------------------|------|---|------|---|---|
| 35                | Toxic Exposure Reports   | S+2  | - | S+2  | - | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per sections GC6254 and Information Practice Act (see Civil Code 1798.40) which do not discuss retention periods. |
| 36                | Training                 | CU+3 | - | CU+3 | - | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period per sections GC6254 and Information Practice Act (see Civil Code 1798.40) which do not discuss retention periods. |
| <b>PURCHASING</b> |                          |      |   |      |   |   |
| 37                | Checks/Registers/Ledgers | CU+7 | - | CU+7 | - | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.   |
| 38                | Fees/Receipts            | CU+7 | - | CU+7 | - | Note: Or until audit completed<br>Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.   |
| 39                | Grants                   | S+2  | - | S+2  | - | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.   |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 49

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482  
12

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |       |        |          |
|---|----------------------------------|-------------------|---------|-------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         |       | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE | TOTAL |        |          |

|                |   |                         |                  |                         |                    |  |
|----------------|---|-------------------------|------------------|-------------------------|--------------------|--|
| 40             | Invoices  | CU+7                    | -                | CU+7                    | -                  | Authority: There is no specific statutory authority for the retention of this item; however, the Secretary of State has recommended this retention period without citing any authority.  |
| 41             | Purchasing - Other<br>General<br>Purchase Orders<br>Requisitions<br>Vendor Register | AR+2<br>A+4<br>A+2<br>P | -<br>-<br>-<br>- | AR+2<br>A+4<br>A+2<br>P | -<br>V<br>V<br>V,H | Note: Original documents<br><br>Authority: There is no specific statutory authority for retention of the above items; however, the Secretary of State has recommended these retention periods per the authority of GC34090 and the statute of limitations in CCP337 (4 yrs for action based upon a contract).          |
| <b>LICENSE</b> |   |                         |                  |                         |                    |  |
| 42             | Business  | T+4                     | -                | T+4                     | -                  | Note: Includes applications, records of paid monies, and required reports<br>Authority: There is no specific statutory authority for retention of these items; however, the Secretary of State has recommended this retention period per the authority of GC34090 and CCP337 (4 yrs for action based upon a contract). |
| <b>PAYROLL</b> |   |                         |                  |                         |                    |  |
| 43             | Adjustments   | A+4                     | -                | A+4                     | -                  | Authority: The Secretary of State has recommended this retention period per the authority of GC34090 and 29 CFR516.5 thru .6.  |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 50

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482  
13

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |        |          |
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| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE |        |          |

|    |   |      |   |      |   |   |
|----|---|------|---|------|---|---|
| 44 | Earnings Records<br>Includes PERS Employee Deduction Reports,<br>Wage Rate Tables, Earning Cards or Sheets,<br>and Additions to and Deductions from<br>Wages Paid | CL+4 | - | CL+4 | - | Note: "CL" is in this record series means "due date for the tax" owed.<br>Authority: 29 CFR 516.6. Note that Secretary of State recommends "T+4" for PERS deduction reports per 26 CFR 1.6001-1; 29 CFR 516.5 and .6, and LC1174(d).  |
| 45 | Register  | P    | - | P    | H | Note: Labor costs by employee and program Authority: There is no specific statutory authority for retention of these items; however, the Secretary of State has recommended this retention period per the authority of GC34090 and 37207 which do not specify retention periods for such records. Given their historical value, the Department may consider retaining for 2 yrs prior to their destruction. |
| 46 | Salary Records  | T+3  | - | T+3  | - | Note: "T" is in this record series "due date for the tax" owed or date of entry, whichever is applicable.<br>Authority: 29 CFR 516.6.   |

**LEGAL RECORDS**

|    |                     |      |   |      |     |   |
|----|---------------------|------|---|------|-----|---|
| 47 | Appeals (Copies)    | CU+3 | - | CU+3 | V,H | Note: Original copy should be date-stamped.<br>Authority: There is no specific statutory authority for retention of this item however the Secretary of State has recommended this retention period per authority of section covering statute of limitations CCP588.320(a)(3) and GC34090 which does not authorize the destruction of records less than 2 years old. |
| 48 | Claims Against City | CL+2 | - | CL+2 | V,H | Note: Paid or denied claims Authority: GC34090(d).  |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 51

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VHC CODES:

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |        |          |
|---|----------------------------------|-------------------|---------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE |        |          |

|    |  |     |   |     |   |  |
|----|--|-----|---|-----|---|--|
| 49 | City Attorney memoranda and legal opinions                   | S+2 | - | S+2 | C | Note: Retain until updated; these items are confidential Authority: There is no specific statutory authority for retention of these items; however, the Secretary of State has recommended this retention period per the authority of GC34090(d) and 6254.   |
| 50 | Citizen Complaints (See Correspondence under ADMINISTRATIVE) |     |   |     |   |  |
| 51 | Legislation (affecting municipalities)                       | S   | - | S   | H |  |
| 52 | Litigation Files (Copies)                                    | S+2 | - | S+2 | C | Note: Duplicate series; original is with City's legal counsel. Authority: There is no specific statutory authority for retention of these items; however, the Secretary of State has recommended this retention period per the authority of GC34090.7 providing for destruction of duplicate city records. |

**ADMINISTRATIVE and MISCELLANEOUS RECORDS**

|    |                  |      |   |      |     |  |
|----|------------------|------|---|------|-----|--|
| 53 | California State | CU+2 | - | CU+2 | V,H | Authority: There is no specific statutory authority for retention of this item; however, given its historical value, the Department may consider retaining for 2 years under authority of GC34090(d), which does not authorize the destruction of records less than 2 years old. |
|----|------------------|------|---|------|-----|--|

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 52

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VHC CODES:

4  
5/2

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |        |          |
|---|----------------------------------|-------------------|---------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE |        |          |

|    |  |       |   |       |     |   |
|----|--|-------|---|-------|-----|---|
| 54 | Correspondence<br>Chron Files;<br>General/Public;<br>Controlled;<br>Reports;<br>Citizen Complaints [against non-safety personnel; refer to Police Department Record Retention Schedule for record retention of complaints /reports against peace officers]<br>Subject Files<br>Reproduction/printing requests; and<br>Correspondence not attached to agreement or project file | CU+2  | - | CU+2  | V,H | Note: For e-mails, see row 57 below<br>Authority: There is no specific statutory authority for retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090(d) which does not authorize the destruction of records less than 2 years old. |
| 55 | Departmental Policies and Procedures   | S + 5 | - | S + 5 | V,H | Authority: There is no specific statutory authority for retention of this item; however, the Secretary of State has recommended this retention period.  |
| 56 | Department Projects, Programs, Events, Issues, Activities<br>Publications  | S+5   | - | S+5   | H   | Authority: There is no specific statutory authority for retention of this item; however, the Secretary of State has recommended a retention period for 5 years.   |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 53

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RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | <b>DATE: April, 2007</b> |       |        |          |
|---|----------------------------------|--------------------------|-------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION                |       | V.H.C. | COMMENTS |
|   |                                  | OFFICE                   | TOTAL |        |          |
|   |                                  |                          |       |        |          |

|    |  |              |   |              |       |   |
|----|--|--------------|---|--------------|-------|---|
| 57 | Electronic Mail  | Not retained | - | Not retained | V,H,C | Note: Per City Electronic Mail, Network and Computer Use Policy emails are considered draft, transitory documents and are not kept in the ordinary course of business. If email qualifies as another type(s) of record category, kept in the ordinary course of business, retain and/or maintain for that type of record as mandated by this schedule. i.e., generally 2 yrs for most records, unless other statute/policy applies. Caveat: may be confidential and/or attorney-client privileged item.<br>Authority: City Email Policy |
| 58 | Equipment Files (Including Vehicles) Owners Manuals; Service/Maintenance/Gas Logs; Vendors; Catalogs; Purchase Information | T+2          | - | T+2          | -     | Note: T for this record is termination of ownership of the equipment.<br>Authority: There is no specific statutory authority for retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090(d), which does not authorize the destruction of records less than 2 years old.  |
| 59 | Federal Agencies   | CU+2         | - | CU+2         | V,H   | Authority: There is no specific statutory authority for retention of this item; however, given its historical value, the Department may consider retaining for 2 years under authority of GC34090(d), which does not authorize the destruction of records less than 2 years old.  |
| 60 | Local Government Agencies  | CU+2         | - | CU+2         | V,H   | Authority: There is no specific statutory authority for retention of this item; however, given its historical value, the Department may consider retaining for 2 years under authority of GC34090(d), which does not authorize the destruction of records less than 2 years old.  |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 54

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RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                                  | DATE: April, 2007 |         |        |          |
|---|----------------------------------|-------------------|---------|--------|----------|
| Item No.  | RECORD SERIES TITLE AND CONTENTS | RETENTION         |         | V.H.C. | COMMENTS |
|   |                                  | OFFICE            | STORAGE |        |          |

|    |  |      |   |      |     |  |
|----|--|------|---|------|-----|--|
| 61 | Organization Files<br>Civic Organizations, Homeowners Associations<br>Professional Organizations | CU+2 | - | CU+2 | H   | Authority: There is no specific statutory authority for retention of this item; however, the Secretary of State has recommended this retention period per the authority of GC34090(d), which does not authorize the destruction of records less than 2 years old.                |
| 62 | Marin County   | CU+2 | - | CU+2 | V,H | Authority: There is no specific statutory authority for retention of this item; however, given its historical value, the Department may consider retaining for 2 years under authority of GC34090(d), which does not authorize the destruction of records less than 2 years old. |

Item No.: 6.D  
 Meeting Date: 5-01-07  
 Page #: 55

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482  
18

**RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO**

|                    |   |   |                |              |  |                 |
|--------------------|---|---|----------------|--------------|--|-----------------|
| <b>DEPARTMENT:</b> |   | <b>FINANCE: ADMINISTRATIVE SERVICES,<br/>ACCOUNTING SERVICES, and<br/>HUMAN RESOURCES</b> |                |              | <b>DATE:</b> April, 2007; <u>Amended</u> March, 2008 |                 |
| <b>Item No.</b>    | <b>RECORD SERIES TITLE AND CONTENTS</b> | <b>RETENTION</b>  |                |              | <b>V.H.C.</b>  | <b>COMMENTS</b> |
|                    |   | <b>OFFICE</b>   | <b>STORAGE</b> | <b>TOTAL</b> |  |                 |

|                   |                      |       |   |      |   |  |
|-------------------|----------------------|-------|---|------|---|--|
| <b>ACCOUNTING</b> |                      |       |   |      |   |  |
| 63                | Accounts Payable     | A+4   | - | A+4  | (to include: invoices, check copies, supporting documents)  |  |
| 64                | Accounts Receivable  | A+4   | - | A+4  |   |  |
| 65                | Bank Reconciliations | A+5   | - | A+5  | (to include: statements, summaries for receipts, disbursements, reconciliations – 26 CFR 16001-1) |  |
| 66                | Cash Reconciliations | CU +2 | - | CU+2 | (to include: petty cash: summaries for receipts, disbursements & reconciliations)                 |  |
| 67                | Checks               | A+5   | - | A+5  | (to include: payroll, cancelled and voided checks – CCP337)                                       |  |
| 68                | Deposits, Receipts   | A+4   | - | A+4  | (to include: documentation of checks, coins, currency – CCP337)                                   |  |
| 69                | Warrant Register     | A+4   | - | A+4  |   |  |
| <b>PARKING</b>    |                      |       |   |      |   |  |
| 70                | Lots                 | CU+2  | - | CU+2 |   |  |
| 71                | Regulations          | S+2   | - | S+2  |   |  |
| 72                | Reports/Studies      | CL+2  | - | CL+2 |   |  |

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482  
19

RECORDS RETENTION SCHEDULE FOR THE CITY OF SAUSALITO

| DEPARTMENT: |                                  | FINANCE: ADMINISTRATIVE SERVICES,<br>ACCOUNTING SERVICES, and<br>HUMAN RESOURCES |         |       | DATE: April, 2007; <u>Amended</u> March, 2008 |          |
|-------------|----------------------------------|--|---------|-------|---|----------|
| Item No.    | RECORD SERIES TITLE AND CONTENTS | RETENTION  |         |       | V.H.C.  | COMMENTS |
|             |                                  | OFFICE   | STORAGE | TOTAL |   |          |

|    |                                     |     |   |     |  |  |
|----|-------------------------------------|-----|---|-----|--|--|
| 73 | Plans, Capital Improvement Projects | P   | - | P   |  |  |
| 74 | Policies and Procedures             | S+2 | - | S+2 |  |  |

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482  
20