

**EXHIBIT A
COUNTY OF LAKE
HUMAN RESOURCES DEPARTMENT
RECORDS RETENTION AND DESTRUCTION SCHEDULE**

Overview Human Resources of Records Management

One of the purposes for records management is to ensure that information is available when it is needed. To do this efficiently and thoroughly, records must be identified, organized, maintained for the requisite number of years, and then documented when destroyed. Records management encompasses all the record-keeping requirements that allow an organization to establish and maintain control over information flow and administrative operations, seeking to control and manage records through the entirety of their life cycle, from creation to final disposition.

Understanding the importance of a good records management program is to establish policies and procedures for the efficient and economical management of the creation, utilization, maintenance, retention, preservation, and disposal of County Human Resources (HR) records, based on federal and state statutes governing records and, further, to ensure that a responsible program of records management is practiced within the HR, serving the best interest of the County.

HR shall establish and maintain an active, continuing program for the economical and efficient management of the HR records of our department. Such program shall, provide for:

1. Effective controls over the creation, maintenance, security, and use of County HR records.
2. The maintenance and security of records deemed appropriate for preservation.
3. Segregation and disposal of records in accordance with the established retention schedule below approved by Resolution _____.

Destruction of County HR Documents

At least annually, HR will review all records in its custody. Records that have reached the end of their retention period are to be destroyed pursuant to this retention schedule. Electronic versions of those records must also be deleted at the same time.

Authority Reference Code

CCP	Code of Civil Procedure
CCR	Code of California Regulations
CFR	Code of Federal Regulations
CFRA	California Family Rights Act
DOT	Department of Transportation
GC / GOV	California Government Code
ADEA	Age Discrimination in Employment Act
EEOC	Equal Employment Opportunity Commission
ERISA	Employee Retirement Income Security Act
FMLA	Family Medical Leave Act
FLSA	Fair Labor Standards Act
FEHA	Fair Employment and Housing Act
GINA	Genetic Information Nondiscrimination Act
OSHA	Occupational Safety and Health Administration
NLRA	National Labor Relations Act

Human Resources Record Retention and Destruction Schedule

Dept.	Location	Records Description	Retention Period	Authority Reference
HR	HR Office/ Electronic HR Drive	Agreements & Contracts: (Correspondence, Project Administration, Project Schedules,	Completion + 7 years	Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Statewide guidelines propose termination + 5 years; CCP §337, GC §34090
HR	HR Office/ Electronic HR Drive	Agreements & Contracts: Unsuccessful bids, unsuccessful proposals or responses to RFPs Request for Proposals and/or RFQs Request for qualifications that don't result in a contract	2 Years	The RFP / RFQ and the successful proposal becomes part of the agreement or contract GC §34090
HR	HR Office/ Electronic HR Drive	Correspondence Administrative, Chronological, General Files, Letters, Memorandums, Reading File, Working Files, etc.	2 Years	GC §34090
HR	HR Office/ Electronic HR Drive	Copies or duplicates of any record – Non Record	Copies When No Longer Required	GC §34090.7
HR	Electronic HR Drive	Records Destruction Lists / Certificates of Records Destruction	Perm	GC§34090
HR	Electronic HR Drive	Records Retention Schedules / Amendments to Records Retention Schedules	Perm	GC §34090
HR	HR Office/ Electronic HR Drive	Request for Public Records	2 Years	GC §34090
HR	Electronic HR Drive	1095-C, 1094-C Employer- Provided Health Insurance Offer and Coverage & Transmittal Form	5 years	Keep copies of information returns you filed with the IRS or have the ability to reconstruct the data for at least 3 years, from the due date of the returns"; GC §34090
HR	HR Office/ Electronic HR Drive	Grievances and Informal Complaints (Employees)	3 Years after close	State requires 2 years after action is taken; GC §§12946, 12960, 34090
HR	Electronic HR Drive	Grievances Formal Labor Grievances	3 Years after close	State requires 2 years after action is taken; GC §§12946, 12960, 34090

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Dept.	Location	Records Description	Retention Period	Authority Reference
HR	Electronic HR Drive	Training (Non Safety) Attendance Rosters, Outlines and Materials; Copy of training cert should be kept in Employee file	3 Years	Calif. EEOC / FLSA / ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State requires 3 years for personnel actions; 8 CCR §3203 29 CFR 1602.31, LC §6429(c); GC §§12946, 12960, 34090, 53235.2(b); 53237.2(b)
HR	HR Office Electronic HR Drive	Applications Volunteer Successful Background clearance	Inactive + 4 Years	Courts treat volunteers as employees EEOC/FLSA/ADEA (Age) EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(1)(i)&(ii), GC §§12946, 12960, 34090
HR	HR Office	Applications & Volunteer Unsuccessful or Pending Applicants	Term +4 Years	Courts treat volunteers as employees EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(1)(i)&(ii), GC §§12946, 12960, 34090
HR	HR Office Electronic HR Drive	HR Audits	Close + 7 Years	GC §34090
HR	HR Office Electronic HR Drive	Medical Benefit Plan Documents (CalPERS, Medical Optical, Dental, etc.)	Duration of the Contract + 2	EEOC / ADEA (Age) requires 1 year after benefit plan termination; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 12960, 34090
HR	HR Office Electronic HR Drive	CalPERS Benefit Administration Includes contract amendment, actuarial reports, service annual employee listing	6 years	6 years for retirement benefits; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 12960, 3409
HR	HR Office Electronic HR Drive	Classification / Reorganization Studies classifications	When No Longer needed + 3 years	Bureau of National Affairs recommends 2 years Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6, 29 CFR 1602.14, GC §§12946, 12960, 4090
HR	HR Office Electronic HR Drive	Classification Specifications / Job Descriptions	3 years	GOV 12946; GOV34090; 29 CFR 516.6(2); 29 CFR 1602; 29 CFR 1607 EEOC / FLSA / ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 - 3 years

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Dept.	Location	Records Description	Retention Period	Authority Reference
HR	Electronic HR Drive County Counsel	Department of Fair Employment & Housing (DFEH or EEOC) Claims	Final Disposition + 3 years	State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after "fully and finally disposed"; 2 CCR 11013(c); GC §§12946, 12960,34090
HR	HR Office Electronic HR Drive	Investigations, Complaints, Harassment Complaints	Close + 3 years	Title VII, FEHA, ADEA, ADA, GINA, NLRA, FLSA
HR/CC	County Counsel Electronic HR Drive	Discrimination Complaint	Final Disposition + 3 years	Title VII, FEHA, ADEA, ADA, GINA, NLRA, FLSA
HR/CC	Not HR Record	Unlawful Employment Practices, Claims, Investigations and Legal Proceedings Records	Final Disposition + 3 years	Title VII, FEHA, ADEA, ADA, GINA, NLRA, FLSA
HR	HR Office Electronic HR Drive	Drug & Alcohol Test Results (All - Positives and Negatives)	5 years	D.O.T. Requires 5 years for positive tests, refusals, annual summaries, etc, 1 year for negative tests; EEOC / FLSA / ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 29 CFR 1627.3(b)(1)(v), GC §§12946, 12960, 34090; 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq. 49 CFR 653.71
HR	HR Office Electronic HR Drive	EEO-4 Reports and records required to generate EEO-4 report Self-Identification Form	3 years	Required for 1 year from termination or 3 years from hiring, whichever is later; EEOC / FLSA / ADEA (Age) requires 3 years for "any other forms of employment inquiry"; State Law requires 2 -3 years; 8 CFR 274a.2; 29 CFR 1627.3(b)(1); GC §§12946, 12960, 34090
HR	HR Office	CalPERS Actuarial reports, service credit reports, annual employee listing,etc.	6 years	6 years for retirement benefits; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 12960, 3409

Human Resources Record Retention and Destruction Schedule

Dept.	Location	Records Description	Retention Period	Authority Reference
HR	HR Office Electronic HR Drive Current + 1 year HR Offsite Storage 2-7 years	Personnel Files - Employee (Manilla) Application / Resume Report of Appointments Offers of employment Performance evaluations Counseling memos & PIP's Commendations Discipline letters/memos Reinstatement documents Signed County policy forms Emergency Contact Training Records	Separation + 7 years	29 CFR 1602.31, 29 CFR, 1620.33(b) Ethics Training 5 years; OSHA records 7 years; EEOC / FLSA / ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., GC §§12946, 12960, 34090, 53235.2(b); 53237.2(b)
HR	HR Office Electronic HR Drive	Confidential / Private (red) Background report Conviction questionnaire PEQ- Prospective Medical History Post Information Medical enrollment & changes Benefit Summary Beneficiary Designations Opt Out Stipend Life Insurance CalPERS Information Member Reciprocal Self Certification OBRA Form Child Support Notices COBRA	Separation +7 years	29 CFR 1602.31, 29 CFR, 1620.33(b), ERISA
HR	HR Office Electronic HR Drive	Personnel Files - Confidential Medical File (green) ADA / accommodations Non-industrial disability FMLA requests Leave requests Medical History Questionnaire Pre-employment Medical Clearance Doctor's notes COVID Testing Respiratory Fit Tests Hearing Tests	Separation +7 years	FMLA 1993 29 CFR 1602.20; 29 CFR 1602.32 FEHA/CFRA FMLA 4 years
HR	HR Office	I-9s	Separation +3 years	Immigration Reform/ Control Act 1986 Pub. L 99-603
HR	COBRA TPA	COBRA Notices	Term+6 Years	COBRA 1990; 29 U.S.C. 1027

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Dept.	Location	Records Description	Retention Period	Authority Reference
HR	HR Office Electronic HR Drive 2 Years HR 3+ Years Offsite Storage	Retirement Benefits Folder CalPERS information from red folder if enrolled in retirement benefits Industrial Disability Retirement (IDR) Retirement benefit elections and changes	Withdrawal or death from retirement benefits + 6 Years	ERISA- 6 years after participant's complete withdrawal from the plan.
HR	NeoGov & Electronic HR Drive	Recruitment and Testing File (NeoGov) Applications Recruiting correspondence Interview schedules Job Brochures Testing Scantrons Interview notes Rating Sheets Eligibility lists	4 Years	EEOC / FLSA / ADEA (Age) requires 3 years; State Law requires 4 years; 29 CFR 1627.3(b)(1), 29 CFR 1602.14 et seq. 2 CCR 11013(c); GC §§12946, 12960, 34090
HR	TPA / HR Office Electronic HR Drive	Unemployment Insurance Records and Reports - Contains records of payments or denial of unemployment claims.	6 Years	Unemployment Insurance Code sec. 1085 22 CCR sec. 1085-2
HR	Electronic HR Drive	Policies & Procedures, Departmental - Retain while current	5 Years after changing	GC34090(d)
HR	Electronic HR Drive	COVID-19 Reporting Records, emails, policy	3 Years	Labor Code sec. 6409.6
CAO /HR	CAO/HR Office Electronic Drive	Labor Relations Files / Labor Agreements MOU's Files Kept by County Administrators Office Negotiation Notes, Correspondence, Interpretation of MOU Provisions, Documentation, etc.	Perm	Department preference; EEOC / FLSA / ADEA (Age) requires 3 years; State Law requires 2 - 3 years; 29 CFR 1672.3(b)(i), 29 CFR 1602.14 et seq., 8 CCR §11040.7(7)(c); GC §§12946, 12960 34090
CAO /HR	CAO Office Copy Electronic HR Drive	Compensation Surveys & Studies		Bureau of National Affairs recommends 2 years for all supplementary Personnel records; Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6(2), 29 CFR 1602.14, GC §§12946, 12960, 34090