

**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

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|----------|---|
| 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 |