

EXHIBIT A – CROSS DEPARTMENTAL RECORDS RETENTION SCHEDULE

Code	Category of Record	Description	Retention Period	Justification	Disposition	Confidential or Sensitive Record
	<b>GENERAL</b>					
G0001	Copies or duplicates of documents	Documents for which a department is not the office of record. (as long as at least one "office of record" maintains a copy for the requisite retention period)	None	Duplicates/copies distributed to various departments for informational purposes and preliminary drafts, notes, or interagency or intra-agency memoranda that are not retained by the County in the ordinary course of business may be destroyed by the departments when they are no longer useful for reference. GC § 26201	Destroy or delete when no longer useful	
G0002	Correspondence - Chronological Files	Routine correspondence received by or sent by Department; may include letters, memos, and notes	CY + 2 years	GC § 26202	Shred/delete	
G0003	Policies/Procedures	Records that document and support the implementation of a particular policy or program.	<i>Permanent</i> (Duration of policy/procedure + 2 years)	GC § 26202	County Archives	
G0004	Staff Meeting Notes	Notes in any form taken by staff members for their own temporary use	None	Notes that are not retained by the County in the ordinary course of business should be destroyed by the departments when they are no longer useful for reference. GC § 26201	Shred/delete	
G0005	Publications from Outside Agencies		CY + 2 years	GC § 26202	Shred/delete	
G0006	Blank Forms	Inventory of Blank Forms	CY + 2 years	GC § 26202	Shred/delete	
G0007	Inventory	Inventory of County property	CY + 5 years	GC § 24051		
G0008	Telephone call logs/telephone messages	Formal logs of incoming and outgoing telephone calls. Relevant notes documenting calls received that pertain to department/County activities.	CY + 2 years	GC § 26202	Shred/delete	
G0009	Visitor registration	Visitor logs, registers, or similar records documenting visitor access	CY + 2 years	GC § 26202	Shred/delete	

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		to unlimited or limited access or restricted areas of County facilities				
G0010	Returned mail	Mail returned to sender as undeliverable	CY + 2 years	GC § 26202; 26205.6 (b)	Shred/delete	
G0011	Retention Schedules	Record Retention Schedules	Closed/Completed/Replaced + 2	GC § 26202	Shred/delete	
G0012	Certificate of Destruction	Certification of Disposition	Closed/Completed/Replaced +2	GC § 26202	County Archives	
	<b>PURCHASING</b>					
P0001	Purchasing records	Records created to document the purchases and payments for supplies, equipment and services. Purchase orders, purchase requisitions, payment authorizations, receipts, invoices.	CY + 5 years – Warrants/Registers CY + 3 years - Requisitions	GC § 26907 GC § 25501.5	Shred/delete	
P0002	Contracts/Agreements- general (except real property related)	Executed agreement or contract to provide goods and services including employment, but excluding those related to real property. Original contract or agreement, all change orders or amendments thereto.	CY Terms of Agreement + 5 years	GC § 26907 (5.3) CCP §§ 337, 337.2 (4), 343 (4) 29 CFR § 516.5(b)(3)	Shred/delete	
P0003	Contracts/Agreements- Government (except real property related)	Executed agreement to provide goods and services including employment, but excluding those related to real property. Original contract or agreement, all change orders or amendments thereto.	Terms of Agreement and 7 years after final payment/ accts 7 years	48 CFR § 4.805	Shred/delete	
P0004	Contracts/Agreements- Capital improvements (real property related)	Executed agreement or contract related to major improvements to County buildings or land or purchase of real property in the County. Original contract or agreement, all change orders or amendments thereto.	10 years after completion of work	CCP § 337.15(a)	Shred/delete	
P0005	Leases (non-real property)				Shred/delete	
P0006	RFP/RFQ Successful	Proposals submitted that are selected to provide service	Audit + 5	GC § 26202.1 GC § 26907	Shred/delete	

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P0007	RFP/RFQ Unsuccessful	Proposals submitted that are not selected	CY + 2	GC § 26202.1	Shred/delete	
P0008	W-9 Request for Taxpayer Identification Number and Certification	Form completed by vendors doing business with the County,	Consult County Counsel	(At least 5 years per GC § 26907)	County Archives	
P0009	Vendor Registration forms	Form completed by vendors doing business with the County, including withholding exemption form	Contact County Counsel	(At least 5 Years per GC § 26907)	County Archives	
	<b>ACCOUNTING</b>					
A0001	Department Preparation of Budget	Back up documents	Audit + 2	GC § 26202	Shred/delete	
	<b>REAL PROPERTY</b>					
R0001	Real Property Docs	Conveyances of real property, Deeds, promissory notes, easements, restrictive covenants, deeds of trust	Permanent (If recorded and/or electronically preserved)	GC § 26205.1 and § 26205.5 (recorded electronically preserved/recorded)	County Archives	
R0002	Leases (real property)	Building/Space Rental Records	Closed/complete + 10	CCP 337.15 (a)	Shred/delete	
	<b>PAYROLL</b>					
PR001	Forms 1099 W2	Federal Tax Forms (including W-2 forms, W-4 forms, etc.)	CY+ 5 years	May be needed for audit 29 USC § 436 26 CFR §§ 31.6001.1-4 IRS REG 31-6001-1(e)(2) R&T § 19530 29 CFR § 516.2-516.6	Shred/delete	
PR002	Payroll	Records created to track the payroll of department employees. Records that indicate anniversary dates, vacation, annual and sick leave accumulations, hours worked, etc.	CY+ 5 years	29 CFR § 516.5	Shred/delete	
PR003	Employee Time Sheets/time cards	Record and verification of time worked by each employee for purposes of issuing salary warrants.	CY+ 3 years	29 CFR § 516.2; IRS REG 31.6001-1(3)(z); R&T § 19530;	Shred/delete	

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				LC § 1174 (d); 29 CFR § 516.6; 29 CFR § 1620.33(b)		
PR004	Other Payroll-Related Documents	Includes leave balance sheets, etc.	CY+ 3 years	29 CFR § 516.2 29 CFR § 516.5(a) CAC 22-1085-2	Shred/delete	
PR005	Salary records	Salary schedules	Termination + 3 years	29 CFR § 516.2 CAC 22-1085-2	Shred/delete	
PR006	Payroll garnishments	Related to garnishments from a County employees pay.	CY+ 5 years	29 CFR § 516.6	Shred/delete	
	<b>PERSONNEL</b>					
H0001	Job Descriptions		CY + 2 years	GC § 26202	Shred/delete	
H0002	Position Classifications	Includes classification & wage rates, staff reports on control list, classification studies and surveys, and reclassification		GC § 12946 29 CFR § 516.6(2)	Shred/delete	
H0003	Unemployment	Documenting unemployment compensation claims.		22 CCR § 1085-2(c)	Shred/delete	
H0004	Employee Handbooks and Policies	General Employee information, including benefit plans, internal manuals, guidelines, policies and procedures, handbooks.	Duration of policy/procedure + 2 years	GC § 26202; § 12946	Shred/delete	
H0005	Federal I-9 Forms		CY + 5 years	Immigration Reform and Control Act 1986, Pub L. 99-603	Shred/delete	
H0006	Position Recruitment	Applications, resumes, lists/logs, indices, ethnicity disclosures, examination materials & answer sheets, job bulletins, eligibility, release of Information forms for recruitments, electronic database	CY + 2 years	GC § 12946 29 CFR § 1607.29 29 CFR § 1627.3	Shred/delete	
H0007	Vehicle Mileage Reimbursement	Annual mileage reimbursement rates as announced by County	Until updated + 2 years	GC § 26202 GC § 12946	Shred/delete	
H0008	Equal Opportunity / Affirmative Action	Affirmation Action or Equal Opportunity staff reports	CY + 2 years			
H0009	Employee Records/ Personnel	May include application,	Termination of employment + 3 years	29 CFR § 1602.31	Shred/delete	

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	file (Active employee)	appointment letters, college transcripts, exit interviews, new hire paperwork, release authorizations, certifications, reassignments, outside employment, disciplinary actions, demotions, promotions, permanent status letter, terminations, performance evaluations, fingerprints, ID cards		29 CFR § 1627.3 CCR 1174 29 CFR § 1602.30.32 GC § 12946 29 CFR § 1607.4 29 CFR § 516.6 29 CFR § 801.30 29 CFR § 1602.14		
H0010	Unsuccessful applicant		CY + 2 Years	GC § 12946	Shred/delete	
H0011	Employee Records/ Personnel file (Inactive employee)		Termination/inactive date + 3 years	GC § 12946 29 CFR §§ 1602.30-32, 1607.4, 1627.3, 516.6		
H0012	Employee Records/ Personnel file (Contract employee)		Termination of employment + 3 years (if multiple employment periods, “termination” = latest one and retention is cumulative)	29 CFR § 1627.3 CCR 1174 29 CFR § 1602.30.32 GC § 12946		
H0013	Employee Records/ Personnel file (Temporary employee)	On-call staff, outside temporary services	Termination of employment (latest) + 3 years	GC § 12946 29 CFR § 1627.3 LC § 1174		
H0014	Employee expense reports	May include travel expense forms, requests, authorizations, itineraries, receipts, reimbursements, etc	CY+ 5 years	May need for audit GC § 26202	Shred/delete	
H0015	Leave of absence reports/requests	May include a medical or non-medical leave of absence	5 years		Shred/delete	
H0016	Leave reports/ requests	Annual leave, vacation, holiday, comp time, sick leave. May include leave time for FMLA, CFRA, or PDLA	3 years	29 CFR § 825.500 29 CFR § 1602.30 29 CFR § 1602.32	Shred/delete	
H0017	Application and selection records (successful applicant)	Includes interview notes with candidates, questions asked of applicants, background checks and disclosures, resumes, test papers and test results, medical exams	Place in personnel file (Retention based on employee record retention period)	29 CFR, §§ 1602.14, 1627.3; 1602.31, 801.30; GC § 12946		
H0018	Application and selection	Includes interview notes with	3 years	29 CFR, §§ 1602.14, 1627.3;	Shred/delete	

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	records (unsuccessful applicant)	candidates, questions asked of applicants, background checks and disclosures, resumes, test papers and test results, medical exams		1602.31, 801.30; GC § 12946		
H0019	Complaints/ Grievances	Documentation of employee grievances, charges related to discrimination or harassment, including those filed under or by EEOC/DFEH,	3 years	29 CFR § 1602.31 29 CFR § 1602.14 GC § 12946	Shred/delete	
H0020	Orientation Packets		Until updated + 2 years	GC § 12946 GC § 26202	Shred/delete	
H0021	Forms and Handouts		Until updated + 2 years	GC § 12946 GC § 26202	Shred/delete	
H0022	Training Records	Employee forms, volunteer program training, class training materials, internships, participation in and successful completion of job-related training programs,	Until updated + 2 years	29 CFR § 1602.31; 29 CFR § 1602.14; GC § 12946 GC § 26202	Shred/delete	
H0023	Security access records	Related to the issuance of keys, identification cards, building passes, passwords,	10 years or Employee Record Retention period (Term + 3 years) whichever is longer	CCP § 337.15(a)		
H0024	Authorization to drive County vehicle or Private Vehicle on County Business	Form signed by each County employee authorizing them to drive County or personal vehicles on County business.	CY+ 2 years (if annual; effective period + 2 years otherwise, whichever is longer)	GC § 26202 8 CCR § 3203(b)(2)	Shred/delete	
H0025	Tuition Reimbursement Program	Employee Programs	Closed/Complete +2	GC § 34090		
H0026	Statement of Economic Interest (Form 700) Designated Employees and Board and Commission Members	Board and Commission members, designated employee and consultant 700s and CC staff reports on code of conflict	7 years	GC § 81009(e) GC § 81009 (f) GC § 81009 (g)	Shred/delete	
H0027	Employee Medical Information	May include Family leave, certifications, tests, pre-employment physical	Termination + 3 years	FMLA 1993 US OSHA 29 CFR § 1910.20 29 CFR § 1602.30.32 49 CFR § 193-9		

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H0028	Ergonomic Evaluations and Job Analysis		Permanent			
	<b>BENEFITS</b>					
B0001	Active Employee Benefit Files	May include application, release authorizations	Termination + 3 years	29 CFR § 1627.3 29 CFR § 1602.30.32		
B0002	Separated Employees		Termination/inactive + 3 years	29 CFR § 1627.3 29 CFR § 1602.30.32		
B0003	Deferred Compensation Plan	Includes enrollment and plan information	Termination + 3 years	29 CFR § 1627.3 GC § 12946		
B0004	Benefit Plan Documents	e.g. Dependent Care Program	Termination + 3 years			
B0005	COBRA files	May include application, release authorizations	Termination + 3 years	29 CFR § 1627.3 29 CFR § 1602.30.32		
B0006	Retirement	PERS, Social Security, SSI, ICMA	Termination + 3 years	29 CFR § 1627.3(2) GC § 12946		
B0007	Disability Claims	Investigations, findings, etc	Permanent	29 CFR § 1602.30 29 USC § 1027 29 CFR § 1627.3 29 USC § 1113	County Archives	
B0008	Benefit Plan Enrollment		Closed/Complete +4	OMB A-128	Shred/delete	
	<b>WORKER'S COMP</b>					
WC001	Worker's Comp Employee Files	Claim files, reports, incidents (working files), originals filed with Administrator	Permanent	CCR § 14311 CCR § 15400.2 LC §§ 110-139.6	County Archives	
WC002	Designation of Personal Physician Forms	Physician Selection Forms	Permanent	CCR § 14311 CCR § 15400.2 LC § 110-139.6	County Archives	
	<b>GRANTS</b>					
GR001	- Application		Tied to underlying contract. Contact County Counsel.	49 CF § 18.42(b) may be State grants – See agreements		

Disposition: Shred/delete; permanent storage at retention center