

05-00-00 HUMAN RESOURCES

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Active Suggested Retention	Inactive Suggested Retention	Total Required Retention	Legal Basis for Minimum Required Retention
05-01-00 Personnel Records								
05-01-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	All Depts		AR		AR	Administrative Record; Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-01-02	Employee Files - Permanent	Includes benefit plan paperwork, Employee Transaction Forms, original application, COBRA notices, background checks, some training certificates, performance evaluations, EEOC or harrassment claims, insurance information, payroll forms (tax, deferred compensation, direct deposit and benefit payments), EDD claim forms for unemployment, disciplinary actions, oaths of allegiance and miscellaneous communications.	HR	C	AS+3	3	AS+6	29 CFR 1627.3 - 4; 3 years after termination 29 CFR 1602.30 - 32; 2 - 3 years after termination 29 CFR 516.5 - 6; 3 years after action 29 USC 1113; 6 years after date of last action GC 12946; 2 years after termination or action State of California Guidelines; 3 years after termination
05-01-03	Employee Files - Elected	Includes benefit plan paperwork, Employee Transaction Forms, insurance information, payroll forms (tax, deferred compensation, direct deposit and benefit payments), oaths of allegiance and miscellaneous communications.	HR	C	AS+3	3	AS+6	29 CFR 1627.3 - 4; 3 years after termination 29 CFR 1602.30 - 32; 2 - 3 years after termination 29 CFR 516.5 - 6; 3 years after action 29 USC 1113; 6 years after date of last action GC 12946; 2 years after termination or action State of California Guidelines; 3 years after termination
05-01-04	Employee Files - Seasonal / Contract	Includes benefit plan paperwork, Employee Transaction Forms, applications, EEOC or harrassment claims, employment contracts / agreements (not including union negotiations and resulting contracts / agreements), EDD claim forms for unemployment, oaths of allegiance, and miscellaneous communications.	HR	C	AS+3	3	AS+6	29 CFR 1627.3 - 4; 3 years after termination 29 CFR 1602.30 - 32; 2 - 3 years after termination 29 CFR 516.5 - 6; 3 years after action 29 USC 1113; 6 years after date of last action GC 12946; 2 years after termination or action State of California Guidelines; 3 years after termination
05-01-05	Employee Files - Retired	May include benefit plan paperwork, Employee Transaction Forms, original application, training certificates, performance evaluations, insurance information, disability information, payroll forms (tax, deferred compensation, direct deposit and benefit payments), EDD claim forms for unemployment, disciplinary actions, and miscellaneous communications.	HR	C	AS+3	3	AS+6	29 CFR 1627.3 - 4; 3 years after termination 29 CFR 1602.30 - 32; 2 - 3 years after termination 29 CFR 516.5 - 6; 3 years after action 29 USC 1113; 6 years after date of last action GC 12946; 2 years after termination or action State of California Guidelines; 3 years after termination
05-01-06	Disciplinary Actions	May include notice of intent, investigatory reports, and other documents leading up to the final action, if any. Final action stored in the Personnel file.	HR	C				GC 12946; Until resolved 29 CFR 1602.14; 1 year after action/change State of California Guidelines; 2 years after termination for general employees, 5 years after termination for safety employees.
		Miscellaneous employees			AS+2		AS+2	
		Public safety employees			AS+5		AS+5	

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05-01-07	I-9 Forms	Maintained in a separate file folder for confidentiality.	HR		AS+3		AS+3	GC 12946; 2 years after completion/position filled GC 6250; Public Records Act, release of confidential information 29 CFR 1602.14; 1 year after position filled 29 CFR 1607; Maintain 29 CFR 1627.3(b)(1); 1 year from action 29 USC 211c; Maintain, no retention period stated USCIS Form I-9; Maintain for 3 years after completion or 1 year after employment is terminated, whichever is longer. Administrative Decision: Maintain for 3 years after separation to follow the longest retention on the I-9 Form guidelines.
05-01-08	Medical Files	Includes FMLA	HR	C	AS+2	28	AS+30	8 CCR 15400; Maintain reports LC 110 - 139.6; 5 years for auditing LC 6410; OSHA, maintain 29 CFR 1627.3(b)(1); 1 year from action 29 CFR 1910.1020; 30 years after employee termination State of California Guidelines; 30 after completion/closure
05-02-00 Human Resources Management								
05-02-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	All Depts		AR		AR	Administrative Record; Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-02-02	Classification Studies	Includes general job descriptions, classification requests, salary survey information, position description questionnaires, class studies, notes and other documents for classifications, specifications and reclassifications	HR		CY+2	P	P	GC 34090; 2 year minimum GC 12946; 2 years after completion/position filled 29 CFR 516.6(2); 2 years for wage rate tables, etc. 2 CCR 570.5; 5 years for pay schedules and special compensation records 29 CFR 1602.14; 1 year after action/change State of California Guidelines; Retain records for the current year they are drafted, plus two additional years. Administrative Decision: Maintain permanently for historical tracking purposes and support contract negotiations.
05-02-03	Eligible Lists	Lists are separated by position.	HR		AC+3		AC+3	GC 12946; 2 years after completion/position filled 29 CFR 1602.14; 1 year after position filled 29 CFR 1627.3; 1 year after position filled State of California Guidelines; 3 years after completion/position filled

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05-02-04	Recruitment Files	Includes requests for recruitment, job flyers, background checks, release forms, applications, recruitment accommodations, interview rating sheets, final scoring, practical tests, correspondence, oral board, written exercises and other information related to the recruitment. Police maintains comprehensive recruitment files for entry level candidates.	HR		AC+3		AC+3	GC 12946; 2 years after completion/position filled 29 CFR 1602.14; 1 year after position filled 29 CFR 1627.3; 1 year after position filled State of California Guidelines; 3 years after completion/position filled
05-02-05	Training Classes	Includes subject matter for general employee training and organizational development.	HR		CY+7		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 2 years after termination GC 6250; PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.
05-03-00 Workers Compensation & Risk Management								
05-03-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	All Depts				AR	Administrative Record; Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-03-02	Bay Cities JPIA	Includes excess workers compensation claims, audits, settlements, amendments and other documents. Used for claims over \$350,000. TPA maintains materials tracking the claims.	HR		P	P	P	GC 34090; 2 year minimum requirement State of California Guidelines; Permanent for joint powers agreements for excess liability insurance.
		Bay Cities general administrative documents and correspondence.			CY+2, AR		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record
05-03-03	Third Party Administrator	Includes correspondence and information on claims and adjustments for activities over the year. Innovative Claims Solutions.	HR		CY+2, AR		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record
05-03-04	Workers Compensation Claims	Includes claim correspondence, doctor notes and other information on the claim. Maintained by the Third Party Administrator and the City. TPA file is accessible electronically by the City. Older files maintained in paper form.	HR	C	AS+2	P	P	8 CCR 15400; Maintain reports 8 CCR 15400.2; 5 years 8 CCR 10102; 5 years LC 129(a); 5 years for auditing State of California Guidelines; Permanent for workers compensation working files (claim files, reports, incidents). Originals filed with third party administrator.
05-03-05	Accident Questionnaire	Completed by an employee not seeking medical assistance for an incident.	HR		AC+2	5	AC+7	GC 34090; 2 year minimum requirement 42 USC 1983; Definitions 29 CFR 1904.2-7; OSHA recordkeeping GC 25105.5; 5 years after closure/completion 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. GC 910 - 913; 6 months to 1 year after event occurs. State of California Guideline; 7 years after settlement or closure

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05-03-06	OSHA 300 Logs	Received from the third party administrator	HR		CY+5		CY+5	GC 34090; 2 year minimum requirement 29 CFR 1904.33; 5 years for OSHA reports 8 CCR 14300.33; 5 years for OSHA 300 reports 8 CCR 10102; 5 years from date of injury State of California Guideline: 5 years after completed
05-03-07	OSHA 301 Forms	Includes employee name, address, how the injury occurred and other information about the incident. Maintained separately from the 300 logs.	HR		CY+5		CY+5	GC 34090; 2 year minimum requirement 29 CFR 1904.33; 5 years for OSHA reports 8 CCR 14300.33; 5 years for OSHA 300 reports 8 CCR 10102; 5 years from date of injury State of California Guideline: 5 years after completed
05-03-08	Workers Compensation Loss Reports	Received monthly from the third party administrator	HR		CY+5		CY+5	8 CCR 15400; Maintain reports 8 CCR 15400.2; 5 years 8 CCR 10102; 5 years LC 129(a); 5 years for auditing State of California Guidelines; State recommends Permanent retention, but no relevant statutes; Risk Management Reports (including Loss Analysis Reports) are 5 years after completion/closure.
05-03-09	Exposure & Sharps Logs		HR		CY+2	P	P	29 CFR 1910.1020; 30 years after termination or separation for employee exposure records and analysis of exposure. Administrative Decision: Maintain exposure and sharps logs permanently due to the required retention for exposure records.
05-03-10	Injury & Illness Prevention Program		HR		S+2	3	S+5	GC 34090; 2 year minimum, 8 CCR 3204; 1 year for IIPP training records State of California Guideline: 5 years after superseded or expired
05-03-11	Safety Inspections	Includes binders with photos and comments on construction and other safety inspections performed by a third party safety consultant. Required by OSHA.	HR		AC+2	3	AC+5	GC 34090; 2 year minimum requirement 29 CFR 1904.33; maintain OSHA reports for 5 years from the end of the calendar year they relate to. 8 CCR 14300.33; current year plus 5 years for OSHA 300 reports 8 CCR 10102; whichever is longer of the following: 5 years from date of injury; 1 year from date compensation was last provided; upon payment of all compensation due; when audit findings are final. State of California Guideline: 5 years after completed Administrative Decision: Maintain safety inspections for 5 years after completion to support OSHA reports.
05-03-12	Training Matrix	Identifies all OSHA mandated training for each department and frequency of training. Maintained by the department and forwarded on to HR.	HR		CY+7		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 2 years after termination GC 6250; PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.

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05-03-13	Training Sessions	Sign-in sheets for training classes.	HR		CY+7		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 2 years after termination GC 6250; PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.
05-03-14	Ergonomic Reports	Submitted by outside ergonomist for evaluations.	HR		CY+2		CY+2	GC 34090; 2 year minimum State of California Guidelines; Current year plus 2 years for employee statistics, benefit activity and liability loss reports.
05-03-15	Hearing Conservation Records	Annual testing of Public Works department. Includes reports on individual employee tests.	HR		AS+2	28	AS+30	8 CCR 15400; Maintain reports LC 110 - 139.6; 5 years for auditing LC 6410; OSHA, maintain 29 CFR 1910.1020; 30 years after employee termination State of California Guidelines; 30 years after termination
05-03-16	ERMA Training	Copies of certificates, spreadsheet of employees trained.	HR		CY+7		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 2 years after termination GC 6250; PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.
05-03-17	DMV Pull Notice Program	Information stored with a third party provider (Samba) electronically and accessible at any time.	HR		S		S	VC 1808.1; must pull record at least every 12 months GC 34090; 2 year minimum requirement
05-03-18	Emergency Operations & Disaster Preparedness	HR coordinates the development and maintenance of the plan, agreement copies, training materials and other documents.	HR	V	S+2		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded
05-03-19	City Certificates of Insurance	Insurance provided to the City.	HR	V	CY+2	P	P	GC 34090; 2 year minimum State of California Guidelines; Permanent for liability and property insurance
05-03-20	General Liability Reports		HR		CY+2		CY+2	GC 34090; 2 year minimum State of California Guidelines; Current year plus 2 years for liability loss reports.
05-03-21	Memorandum of Coverage	City insurance policies provided through the Bay Cities.	HR	V	CY+2	P	P	GC 34090; 2 year minimum State of California Guidelines; Permanent for liability and property insurance
05-03-22	Volunteer Program	Includes applications, waivers, emergency contact information, parent signatures for minors, and other volunteer related documents.	HR		AS+2		AS+2	GC 12946; 2 years after completion/position filled 29 CFR 1602.14; 1 year after position filled 29 CFR 1602.13; Maintain EEOC demographic information 29 CFR 1627.3; 1 year after position filled State of California Guidelines; 2 years after completion/position filled

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05-04-00 CalPERS & PARS								
05-04-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	All Depts		AR		AR	Administrative Record; Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-04-02	Plan Contracts & Plan Amendments		HR		CY+2	P	P	GC 34090; 2 year minimum requirement GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent for PERS documents
05-04-03	Valuation Reports & Rate Changes	Supplied by PERS for rate changes. Currently pulled from the website as needed. Older versions maintained in paper format.	HR		CY+2	P	P	GC 34090; 2 year minimum requirement GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent for PERS documents
05-04-04	OPEB / GASB Reports		HR		CY+2	P	P	GC 34090; 2 years minimum State of California Guidelines; Permanent
05-05-00 Benefits								
05-05-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	All Depts		AR		AR	Administrative Record; Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-05-02	Benefit Plan Information	Plan information and correspondence. Does not include individual contributions or claims.	HR		S+2		S+2	GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action
05-05-03	Benefit Broker Files	Includes agreement copies, presentations, evaluations and correspondence with brokers.	HR		CY+5		CY+5	CCP 337.2; Statutes of limitations CCP 343; Statutes of limitations 48 CFR 4.601; 5 years for procurements exceeding \$25,000 Administrative Decision: Maintain benefit broker information for the current year plus 5 years to match retention of the original agreement.
05-05-04	CALGOVEBA	Voluntary Employee Benefits Administration. Includes plan documents and board meeting information.	HR		S+2		S+2	GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action
05-05-05	Deferred Compensation	Plan information and correspondence. Does not include individual contributions or claims.	HR		S+2		S+2	GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action

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05-05-06	Long Term Disability	Plan information and correspondence. Does not include individual contributions or claims.	HR		S+2		S+2	GC 34090; 2 year minimum GC 12946; 2 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action
05-06-00 Labor Relations								
05-06-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	All Depts		AR		AR	Administrative Record; Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-06-02	Unions / Associations	Includes correspondence and reviews with labor organizations. Does not include negotiation information.	HR		CY+2, AR		CY+2, AR	GC 34090; 2 year minimum requirement Administrative Decision: Maintain correspondence and communications for the current year plus 2 years. Review annually for relevant content.
05-06-03	Memorandums of Understanding		HR		P		P	29 USC 211c; Maintain, indefinite 29 CFR 516.5(b); 3 years State of California Guidelines; Recommend Permanent retention without relevant statutes or regulations cited.
05-06-04	Negotiations	Maintained by bargaining unit and contract year. Includes salary surveys, meet and confer, and equity studies.	HR		CY+4	P	P	29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; Permanent
05-06-05	Interest Arbitration		HR		CY+4	P	P	29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; Permanent
05-06-06	Grievances	Miscellaneous Employees: Public Safety Employees:	HR		AS+2 AS+5		AS+2 AS+5	GC 12946; 2 years after completion 29 CFR 1602.14; 1 year after action/change 29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; 2 years after termination for general employees, 5 years after termination for safety employees