

**COUNTY OF SAN MATEO
DEPARTMENT OF AGRICULTURE/WEIGHTS AND MEASURES**

RECORDS RETENTION SCHEDULE

Record Type	Description	Retention Period	Citation/Comments
	<u>ADMINISTRATIVE/MANAGEMENT</u>		
ANNUAL FINANCIAL REPORTS	COUNTY AGRICULTURAL COMMISSIONER (CAC) ANNUAL FINANCIAL STATEMENT FOR CALIFORNIA DEPARTMENT OF FOOD AND AGRICULTURE (CDFA) & COUNTY SEALER STATEMENT FOR STATE DIVISION OF MEASUREMENT STANDARDS (DMS).	Current year plus 5 years	Keep FY 1997-98 report permanently per Food and Agricultural Code (FAC) section 2282.5 which establishes that fiscal year as the baseline for the Maintenance of Effort (MOE) requirement for the High Risk Pest Exclusion annual state agreement with CDFA. FAC 224.5 requires CAC maintain 5 year MOE which is determined by Net County Cost (NCC) per annual financial statements for the past 5 years.
STATE MONTHLY REPORTS	MANDATORY MONTHLY REPORTS SENT TO CDFA & CALIFORNIA DEPARTMENT OF PESTICIDE REGULATION (CDPR) SUMMARIZING THE AMOUNT OF TIME WORKED IN EACH PROGRAM AND PROGRAM ACITIVITIES.	Current year plus 5 years	Originals sent to CDFA & CDPR. Some reports submitted to CDFA on line. California Code of Regulations (CCR) section 6392 mandates the report for Pesticide Regulatory activities. State agreements with CDFA require work product records including monthly activity reports be kept for the current agreement year plus three years for audit purposes. FAC 224.5 requires CAC to maintain 5 year MOE which is determined by agricultural program NCC per annual financial statements and associated state reports and records for the past 5 years.
ACTIVITY REPORTS, THE DAILY	DAILY RECORDS IN DEPARTMENT DATABASE USED TO COMPILE THE MANDATORY MONTHLY REPORTS SENT TO STATE AGENCIES.	Current year plus 5 years	See State Monthly Reports above.

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CIVIL PENALTIES	RECORDS OF AGRICULTURAL, WEIGHTS AND MEASURES & OTHER CIVIL PENALTIES; INCLUDES NOTICE OF PROPOSED ACTION WITH CASE FILE/BACKUP MATERIALS.	Current year plus 2 years	CDPR workplan requires that CAC maintain current year plus the previous two years of pesticide regulatory records. Dept. preference for other civil penalty records.
HAZARDOUS MATERIALS RECORDS	HAZARDOUS MATERIALS PERMITS REQUIRED BY CAL-EPA & COUNTY HEALTH DEPARTMENT; INCLUDING HAZARDOUS WASTE DISPOSAL RECORDS.	3 years	22 CCR 12 66262.40(a) per County Environmental Health Division.
POLICIES & PROCEDURES	DIRECTIVES, POLICIES, PROCEDURES DEVELOPED BY THE DEPARTMENT; INCLUDES OFFICE PROCEDURE MANUALS, DOCUMENTS, POLICY STATEMENTS.	5 years	As long as in effect plus 5 years. Dept. preference.
	<u>AGRICULTURAL PROGRAMS</u>		
PEST DAMAGE RECORDS	RECORDS OF ANIMAL & PEST DAMAGE; INCLUDES PEST DAMAGE RECORDS, DAMAGE SURVEYS, FIELD/HOUSE CALLS, AND LAB REPORTS.	Current year plus 3 years	CDFA agreements require retention of work product for the current agreement term plus 3 years. Copies kept on CDFA online database.
WEED MANAGEMENT AREA	AGENDAS, MINUTES, MEMORANDUM OF UNDERSTANDING (MOU), AND REPORTS.	Current year plus 5 years	Term of Memorandum of Understanding (MOU) that requires Board approval is 5 years. If future projects funded by CDFA, records retention would be required for current year plus 3 years for audit purposes.

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PEST DETECTION TRAPPING	RECORDS RELATING TO STATE PROGRAM TO DETECT CERTAIN INSECTS. INCLUDES DAILY RECORDS OF TRAPPING, AND MAPS.	Current year plus 3 years	Annual state agreement with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.
PEST EXCLUSION	RECORDS ASSOCIATED WITH QUARANTINE OF PRODUCE & NURSERY STOCK FOR PESTS INCLUDES POST-ENTRY & RELATED DOCUMENTS, NOTICE OF REJECTION (NOR), QUARANTINE WARNING NOTICES (008)	Current year plus 3 years	Annual state agreement with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.
PHYTOSANITARY & QUARANTINE CERTIFICATES	CERTIFICATES ISSUED FOR MOVEMENT OF AGRICULTURAL COMMODITIES TO AREAS OUTSIDE COUNTY. INCLUDES FEDERAL PHYTOSANITARY CERTIFICATES/ CERTIFICATES OF QUARANTINE COMPLIANCE.	Current year plus 3 years	Department preference. United States Department of Agriculture (USDA) policy requires federal phyto. certificates be retained for 3 years from date of issuance.
FARM LABOR CONTRACTORS	REGISTRATION INCLUDES STATE LICENSE & COUNTY REGISTRATION FORMS.	Current year plus 2 years	CDPR workplan requires that CAC maintain pesticide regulatory records for the current calendar year plus two years for compliance history.
PESTICIDE USE INSPECTION REPORTS/ ENFORCEMENT ACTIONS/ COMPLIANCE ACTIONS	RECORDS OF PESTICIDE USE MONITORING INSPECTION, NOTICE OF PROPOSED ACTIONS, PRE-APPLICATION INSPECTIONS, AND FIELD WORKER SAFETY INSPECTIONS.	Current year plus 2 years	CDPR workplan requires that CAC maintain pesticide regulatory records for the current calendar year plus two years for compliance history.

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PESTICIDE EPISODE INVESTIGATION AND ANTIMICROBIAL EXPOSURE REPORTS	CASE FILES FOR PESTICIDE EPISODE, PRIORITY EPISODE, AND ANTIMICROBIAL EXPOSURE INVESTIGATIONS; INCLUDES REPORT OF INJURY OR ILLNESS AND EXHIBITS.	Current year plus 2 years	Investigation reports of pesticide related illness sent to CDPR. Complaint reports kept only at Dept. main office. Current calendar year plus 2 years for compliance history required by CDPR workplan.
PESTICIDE USE REPORTS	PESTICIDE USE AUTHORIZED BY RESTRICTED MATERIAL PERMITS; INCLUDES OPERATOR ID'S, REPORTS, GROWER PESTICIDE APPLICATIONS, AND PCB (AG AND STRUCTURAL) APPLICATIONS.	Current year plus 2 years	Data sent to CDPR. Some reports submitted to Dept. as paper copies, others submitted electronically. Paper copy data entered into electronic database. Current calendar year plus 2 years for compliance history required by CDPR workplan.
PESTICIDE USE REPORTS (DATA FILES)	PESTICIDE USE AUTHORIZED BY RESTRICTED MATERIAL PERMITS. INCLUDES OPERATOR ID'S, REPORTS, GROWER PESTICIDE APPLICATIONS, AND PEST CONTROL BUSINESS (AG AND STRUCTURAL) APPLICATIONS.	Current year plus 2 years	CDPR workplan requires CAC to maintain pesticide regulatory records for the current calendar year plus two years for compliance history.
NOTICE OF INTENT (NOI)	RESTRICTED USE PESTICIDES NOIs SUBMITTED BY APPLICATORS.	Current year plus 2 years	CDPR workplan requires CAC to maintain pesticide regulatory records for the current calendar year plus two years for compliance history.

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Record Type	Description	Retention Period	Citation/Comments
REGISTRATION OF PEST CONTROL ADVISORS (PCA) PEST CONTROL BUSINESSES (PCB) & PILOTS	RECORDS OF STATE LICENSES & BUSINESS LICENSES AND ANNUAL REGISTRATION RECORDS (FOR QUALIFIED APPLICATOR LICENSE /QAL, QUALIFIED APPLICATOR CERTIFICATES/QAC, PCA, PILOT).	Current year plus 2 years	CDPR workplan requires CAC to maintain pesticide regulatory records for the current calendar year plus two years for compliance history.
RESTRICTED MATERIAL PERMIT FILES	PESTICIDE PERMITS WITH ATTACHMENTS, OPERATOR ID NUMBERS WITH ATTACHMENTS, RESTRICTED MATERIAL PERMIT DENIALS. PAPER COPIES AND ELECTRONIC FILES	Current year plus 2 years	CDPR workplan requires CAC to maintain pesticide regulatory records for the current calendar year plus two years for compliance history
PESTICIDE RESEARCH AUTHORIZATIONS	RESEARCH AUTHORIZATIONS RELATED TO PESTICIDE USE	Current year plus 2 years	CDPR workplan requires CAC to maintain pesticide regulatory records for the current calendar year plus two years for compliance history.
STRUCTURAL PEST CONTROL BUSINESSES	ANNUAL REGISTRATION TO APPLY PESTICIDES IN COUNTY.	Current year plus 2 years	CDPR workplan requires CAC to maintain current calendar year plus two years for compliance history.
STRUCTURAL FUMIGATION PEST CONTROL BUSINESSES	NOTICES OF INTENT TO FUMIGATE STRUCTURES.	Current year plus 2 years	CDPR workplan requires CAC to maintain current calendar year plus two years for compliance history.
NURSERY INSPECTION REPORTS	RECORDS OF INSPECTIONS AT NURSERIES FOR IDENTIFICATION/EXCLUSION OF PESTS.	Current year plus 3 years	Annual state agreement with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.

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Record Type	Description	Retention Period	Citation/Comments
SEED INSPECTIONS	RECORDS OF INSPECTIONS OF SEED; INCLUDES INSPECTION FORMS	Current year plus 3 years	Annual MOU with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.
DIRECT MARKETING	ANNUAL CERTIFICATES FOR CERTIFIED FARMERS' MARKETS & CERTIFIED PRODUCERS. INCLUDES APPLICANT/GROWER & MARKET/COMMODITY INFORMATION	Current year plus 3 years	Annual state agreement with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.
EGG QUALITY CONTROL INSPECTIONS	RECORDS OF INSPECTION OF EGGS; INCLUDES INSPECTION FORMS, AND GRADING CERTIFICATES.	Current year plus 3 years	In order for records to be consistent with retention schedule for other state regulatory requirements.
FRUIT & VEGETABLE QUALITY CONTROL INSPECTIONS	INSPECTION REPORTS, GRADING CERTIFICATES, AND NON-COMPLIANCE NOTICES.	Current year plus 3 years	Annual state agreement with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.
ORGANIC REGISTRATION	ANNUAL REGISTRATION OF ORGANIC PRODUCERS, HANDLERS, PROCESSORS; INCLUDES APPLICATIONS, PUBLIC INFORMATION FORMS, AND INSPECTION REPORTS.	Current year plus 3 years	Annual state agreement with CDFA requires work product records be kept for current agreement year plus 3 years for audit purposes.

CORONER'S OFFICE RECORD RETENTION SCHEDULE

Notice Regarding Records Destruction: The following records retention policy governs record retention by the Coroner's Office. The policy was developed with the following goals in mind: (1) complying with applicable legal requirements relating to records retention; (2) preserving records that provide historical information and context that may be useful to employees in the disposition of their job duties; (3) promoting sustainability and the reduced consumption of paper and other resources; and (4) cost considerations associated with long-term storage of records in paper versus electronic form.

The policy regarding specific categories of records is set forth below. If it is so stated, originals must be retained in their original format. Otherwise, the Coroner's shall have the discretion to destroy originals and retain scanned copies pursuant to California Government Code section 26201.

The following documents do not qualify as records and may be destroyed at any time, provided that they are not subject to a pending notice of litigation, audit, open records request, etc.: preliminary drafts, notes, calendars, copies of client documents, copies of court documents, newspapers and magazines, conference materials, and transitory emails that do not qualify for retention under any of the categories identified below.

No record or document may be destroyed if it is subject to a notice of litigation, audit, open records request, etc. that was received prior to the expiration of the retention period.

Record Type	Description	Retention Period	Citation/Comments
Coroner's Register	An official register which includes: (1) the name and aliases of deceased; (2) a narrative summary of the circumstances leading to and surrounding death, with any witnesses to such events; (3) any property taken from the person or premises of the deceased by the coroner or any other law enforcement agency, and the disposition of such property; (4) the cause of death, when known, with reference to detailed medical reports upon which decision as to cause of death has been based; and (5) any information as to disposition of remains, and persons notified of the death.	Indefinitely	Cal. Gov. Code, § 27463
Suicide Notes (Naturals, Suicides, Accidents)	Original suicide notes are retained for 90 days following date of death and then released to addressee or legal next of kin. If addressee or legal next of kin cannot be located, the original note is destroyed.	1 Year (if addressee or legal next of kin cannot be located)	Best practice determined through government agency benchmarks

Record Type	Description	Retention Period	Citation/Comments
	Copies of suicide notes.	5 Years	Best practice determined through government agency benchmarks
Medical Records	Medical records/reports relating to non-homicide victim decedent.	1 Year	Best practice determined through government agency benchmarks
	Medical records/reports relating to homicide (and potential homicide) victim decedent	Indefinitely	Best practice determined through government agency benchmarks
Dental Evidence (All Manners)	Records and copies of dental X-rays, dentures, casts, bite marks, photographs, and charts	Indefinitely	Best practice determined through government agency benchmarks
Anthropological Evidence (All Manners)	Records and copies of X-rays, photographs, and reports of a consulting anthropologist	Indefinitely	Best practice determined through government agency benchmarks
Forensic Examinations (All Manners)	Records of forensic examinations, including register page necropsy, microbiology report, and postmortem toxicology reports	Indefinitely	Best practice determined through government agency benchmarks
Unidentified Doe Records	Case file of unidentified Doe decedents, which includes an investigation report, toxicology report, autopsy report, autopsy and scene photographs, fingerprints, and law enforcement reports	Indefinitely	Best practice determined through government agency benchmarks
Homicide Records	Case file of homicide (and potential homicide) victim decedents, which includes investigation report, toxicology report, autopsy report, autopsy and scene photographs, fingerprints, and law enforcement reports	Indefinitely	Best practice determined through government agency benchmarks

Record Type	Description	Retention Period	Citation/Comments
Identified Non-Homicide Records	Case file of identified non-homicide decedents, which includes investigation report, toxicology report, autopsy report, autopsy and scene photographs, fingerprints, and law enforcement reports	5 Years	Best practice determined through government agency benchmarks

COUNTY COUNSEL'S OFFICE RECORD RETENTION SCHEDULE

Notice Regarding Records Destruction: The following records retention policy governs record retention by the County Counsel's Office. The policy was developed with the following goals in mind: (1) complying with applicable legal requirements relating to records retention; (2) preserving records that provide historical information and context that may be useful to employees in the disposition of their job duties; (3) promoting sustainability and the reduced consumption of paper and other resources; and (4) cost considerations associated with long-term storage of records in paper versus electronic form.

The policy regarding specific categories of records is set forth below. If it is so stated, originals must be retained in their original format. Otherwise, the County Counsel's Office shall have the discretion to destroy originals and retain scanned copies pursuant to California Government Code section 26201.

The following documents do not qualify as records and may be destroyed at any time, provided that they are not subject to a pending notice of litigation, audit, open records request, etc.: preliminary drafts, notes, calendars, copies of client documents, copies of court documents, copies of records otherwise retained by a county department, newspapers and magazines, conference materials, and transitory emails that do not qualify for retention under any of the categories identified below.

No record or document may be destroyed if it is subject to a notice of litigation, audit, open records request, etc. that was received prior to the expiration of the retention period.

No.	Record Type	Description	Retention Period	Citation/Comments
Accounting/Finance Records				
109	Timekeeping and Billing Records	Timekeeping records for attorneys and paralegals and bills generated therefrom	Permanent	Best practice determined through business and government agency benchmarks
Legal Records Maintained by Departments				
403	Administrative Proceedings Records	Includes legal correspondence, pleadings, research, filings, and records related to administrative proceedings, such as due process hearings	Until final resolution + 10 years	Best practice determined through business and government agency benchmarks; GC 26202
404	Investigation Records	Includes responses and documents provided to investigatory bodies such as the EEOC and OCR	Until final resolution + 10 years	Best practice determined through business and government agency benchmarks; GC 26202
405	Legal Advice	Memoranda and correspondence dispensing legal advice to clients	Permanent	Best practice determined through business and government agency benchmarks
406	Bail Bonds Deeds	Deeds and reconveyances	Permanent (return upon reconveyance)	10 CCR 2088.2 & 2088.3

No.	Record Type	Description	Retention Period	Citation/Comments
407	Child Protective Services Case Files	Notices of termination of parental rights, investigation reports, court files, subpoenas, etc. in dependency cases with contested proceedings	Until end of dependency	Best practice determined through government agency benchmarks; WIC 303; GC 26201 & 26202.
408	Decedent Estate Case Files	Petitions, accountings, estate documents, communications, etc.	Order discharging Public Administrator as administrator + 5 years	Best practice determined through government agency benchmarks; GC 26202; CCP 343
409	LPS Conservatorship Files	Petitions, court orders, investigation reports, etc. within LPS conservatorship files.	Open cases: 2 years; after case closes, retain documents within file for 1 additional year	Best practice determined through government agency benchmarks; GC 26201
410	Probate Conservatorship Files	Petitions, accountings, estate documents, communications, etc.	Order discharging Public Guardian as conservator + 5 years	Best practice determined through government agency benchmarks; GC 26202; CCP 343
Personnel				
508	MCLE records	Records, such as certificates of attendance, evidencing completion of MCLE activity as required by the State Bar	5 years after close of calendar year	California State Bar Rule 2.73
509	Form 700 Statements	Records of Form 700 Statements of Economic Interest, which Government Code section 87200 requires certain employees to file	Permanent	Best practice determined through government agency benchmarks
510	Payroll Records	Time card records and other records documenting or relating to payment of employees	Until separation from employment + 5 years	Labor Code 1198.5(c); Code Civ. Proc. 337
511	Log books	Employee sign-out records	3 years after close of calendar year	Best practice determined through government agency benchmarks

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RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
General and Administrative	Administrative Records, Misc.	2	5 years	
	Annual Reports	1	Permanent	
	Applications – Animal Licenses	2	4 years	County contract with Peninsula Humane Society
	Applications – Dangerous Animals Permits	2	Lifetime of dog	County contract with Peninsula Humane Society
	Applications – Birth and Death Certificates	2	1 year on site, 2 years in archive	CA Health and Safety Code (HS) §102365
	Applications – Burial Permits	2	1 year	HS §103060
	Applications – Emergency Medical Technician (EMT) Licenses	2	Current + 2 years	Per Emergency Medical Services Authority (EMSA)
	Applications – Medical Marijuana Licenses	2	2 years on site, 2 years in archive	Division Policy. CA Department of Public Health (CDPH) does not outline record retention requirements, but states that licenses must be renewed each year.
	Applications – Paramedic Licenses	2	Current	Per EMSA
	Behavioral Health and Recovery Services (BHRS) administrative records (including business and billing records)	2	3 years after final payment	BHRS Policy 00-04. Per contract with State DHCS, retain 3 years after final payment is made.
	Calendar (Dept. Head)	4	5 years	
	Calendar (Other than Dept. Head)	4	While useful	
	CA Government Code, Dept. Procedural Manuals	1	Until superseded	
	Complaints/Concerns from Citizens - General	2	2 years	Claims must be filed in 6 months; Code of Civil

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RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
				Procedure (CCP) §§338 et seq., 340 et seq., 342, CA Government Code (GC) §945.6, GC §12946, GC §26202; 29 Code of Federal Regulations (CFR) §§1602.31 and 1602.14
	Complaint Logs	4	While useful	
	Correspondence, Draft	4	While useful	
	Correspondence, Routine/Misc.	2	5 years	GC §§26202, 6252 and 6254(a)
	Correspondence not requiring follow-up	4	While useful	
	Department Policies / Procedures / Protocols	1	Until superseded	
	Disaster / Cost Recovery documents	2	3 years	44 CFR §13.42 and Title 19 Central Contractor Registration (CCR) §2980(e)
	Draft Documents	4	While useful	
	External Audits (Grand Jury, Private Acct. Firms)	2	5 years after applicable Fiscal Year (FY)	
	Fax Transmittal Sheets	4	None	
	Interdepartmental Correspondence	2	5 years	
	Internal Audit Reports	2	5 years after applicable FY	
	Journals/Magazines/Catalogs	4	None	
	Legal Advice	2	5 years, or until superseded	
	Legislative Drafts	4	None	
	Memoranda, Misc.	4	While useful	
	Memoranda, Policy/Decisional	2	5 years, or until superseded	
	Notes	4	None	

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RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
	Permit Application, Fees & Issuance Records	2	For life of permit, minimum of 5 years	
	Phone Message Slips	4	None	
	Personal Files, Notes & Memos	4	While useful	
	Proposed Legislation	4	None	
	Publications, Reports by Dept.	2	5 years	
	Software Licensing, Instruction Manuals	4	While software in use	
	Regulations	1	Until superseded	
Accounting and Finance	Accounts payable (Invoices)	2	5 years	GC §26907
	Accounts receivable	2	5 years	GC §26907
	Audit reports	1	Permanent	
	Capital (Fixed) Assets	2	5 years	GC §24051(b)
	Financial reports – annual	2	5 years	GC §26907
	Revolving Funds Records	2	5 years	
	RFPs, RFQs, Bids/Proposals – accepted	2	Completion of contract + 5 years or after Funding Agency audit, if required, whichever is longer	Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. Seq.; GC §26202
	RFPs, RFQs, Bids/Proposals – rejected	2	2 years	GC §26202
	Settlement Agreements	1	Permanent	
	Transaction Summaries	3	5 years	GC §26907
Board/Commission Materials	W9s for Vendors	2	5 years from date W9 filed	
	Boards and Commissions Meeting Materials	1	Permanent	
	Policy & Procedure – Boards and Commissions	1	Permanent	
	Public Hearings Records	1	Permanent	
	Recordings of Public Meetings	1	Permanent	The County is required to retain these records until the minutes are adopted, but no less than 30 days per GC

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RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
				§54953.5(b). However, County practice is to maintain these records permanently.
Agreements	Contracts/Agreements/MOUs – general	2	Until date of completion + 5 years	GC §26202
	Contract Correspondence	2	Until date of completion + 5 years	
	Contract/Agreements – capital improvements	2	Until date of completion + 5 years	CCP §337.15 (a)
	Leases/Rental Agreements – Real Property	2	Until date of completion + 5 years	CCP §337.2
	Leases/Rental Agreements – excluding real property	2	Until date of completion + 5 years or after Funding Agency Audit, whichever is longer	
	Grants	2	Until date of completion + 5 years or after Funding Agency Audit, whichever is longer	Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. Seq., 21 CFR §§1403.36 & 1403.42(b); 24 CFR §§ 85.42(b), 91.105(h), 92.505, and 570.502(b), 28 CFR §66.42; 29 CFR §97.42(b); 40 CFR §31.42; 44 CFR §13.42; 45 CFR §92.42; Office of Management and Budget (OMB) Circular A-133GC §26202
Legal Records Maintained by Departments	Public Records Act Requests	2	Until final resolution + 2 years	GC §26202
	Litigation Records	N/A	Retained by County Counsel	
	Subpoenas	2	Until final resolution + 2	GC §26202

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RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
			years	
Personnel / HR	Application and Selection Records	N/A	Retained by HR	29 CFR §§1627.3 and 201.30; see also 29 CFR §§1602.31 and 1602.14; GC §12946
	Complaints/Grievances	N/A	Retained by HR	29 CFR §§1602.3 and 1602.14; GC §12946
	Conflict of Interest (Form 700)	2	7 years	GC §81009(e)
	Injury and Illness Reports	2	6 years	29 CFR §1904.33; 8 CCR §14300.33
	Leave of Absences Requests	N/A	Maintained by HR	GC §26201
	Personnel Files	2	Until separation from employment + 3 years	Labor Code 1198.5(c) requires retention of personnel files for not less than 3 years after termination of employment
	Personnel Files – Supervisor’s Notes	2	Completion of employee’s annual evaluation	
	Training History	2	5 years from completion of training	Occupational Safety and Health Administration (OSHA) requires 5 years for safety records; Statewide guidelines propose 7 years; 8 CCR §3203 et seq., 8 CCR 14300.33(a); 29 CFR §1602.31, 29 CFR §§1602.14, 1627.3(b)(2), 1904.33, 1904.44; LC §6429(c); GC §§12946, 34090, 53235.2(b)
	Travel & Reimbursement Records	2	5 years	See Accounts Payable
	Workers’ Compensation	N/A	maintained by HR	8 CCR §10102
Facilities	Equipment	2	End of lease or ownership + 7 years	GC §24051

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	Facilities	2	End of lease or ownership + 7 years	GC §24051
	Facility Use Application/Permits	2	2 years	GC §26202
	Material Safety Data Sheet	2	Current Use	29 CFR §1910.1020
	Vehicle Safety	2	2 years	GC §26202
Miscellaneous	Patient consent to photograph (photo release forms) or disclose PHI to media	2	Use of photo/video + 6 years	45 CFR §164.530(j) (6 year min.)
Client / Patient and Regulated Business Files	Dog Bite Records	2	2 years	County contract with Peninsula Humane Society
	EMT and Paramedic Continuing Education Records	2	4 years	EMSA
	Laboratory Test Results	2	3 years on site, 7 years off-site	Retention period by practice. 2 year mandatory for Clinical Laboratory Improvement Amendments.
	Land Use Program Records (individual wells or septic systems)	1	Permanent	
	Hazardous Materials: Household Hazardous Waste Manifests	1	Permanent	
	Hazardous Materials: Household Hazardous Waste Grant Documents	2	3 years	3 year Statute of Limitations for State audits
	Hazardous Waste: Used Oil Grant/Payment Documents	2	3 years	3 year Statute of Limitations for State audits
	Hazardous Materials: Business Plan, Waste Generator, Underground Tank and Aboveground Tank Programs	1	Permanent	
	Medical Records: Adults / Emancipated Minors	2	Discharge from care + 7 years	Title 22 CCR §72543
	Medical Records: Un-emancipated Minors	2	Later of a) 1 year from the date the person reaches the age of maturity (18) following	Title 22 CCR §72543

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			discharge from care, or b) 7 years	
	Medical Records: Behavioral Health and Recovery Services consumers	2	Discharge from care + 10 years	BHRS Policy 00-04
	Medical Records: Paramedic Administered Morphine	2	6 years	2 year minimum per Department of Drug Enforcement Administration – Controlled Substances Act. Extend to 6 years to align with San Mateo Medical Center (SMMC) retention policy.
	Water: Local Water Oversight Program Records	1	Permanent	Contractual agreement with State Water Resources Control Board
	Water: Public Water Systems, including State Small Water	2	Life of water system + 5 years	
	Water: Recreational Water	2	In Office: Current + 1 year Off-site: 10 years	
San Mateo Medical Center-Specific Items ⁱ	Admin.: Accreditation/licensing surveys and plans of correction (TJC, AOA, DNV, CMS, CDPH, IMQ, CAP, etc.)	2	10 years	CA Hospital Association (CHA) recommendations
	Admin.: Adverse event reports to CDPH	2	conclusion of any appeal + 6 years	CHA recommendations
	Admin.: Annual reports to CDPH	1	Permanent	CHA recommendations
	Admin.: Daily census	2	6 years	CHA recommendations
	Admin.: Communicable disease reports to state and local health departments	2	3 years	CHA recommendations
	Admin.: Incident reports	2	10 years	CHA recommendations
	Admin.: Unusual Occurrence Reports (UoRs) to CDPH or public health officer	2	6 years	CHA recommendations; 22 CCR §§70733 and 71531 (2 year minimum)
	Admin.: Facility-related licenses or	2	Life of license or	CHA recommendations

RECORDS RETENTION AND DESTRUCTION SCHEDULE

RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
	certificates		certificate + 6 years	
	Admin./Health Information Management (HIM): Master patient index/medical record index number	1	Permanent	CHA recommendations
	Admin.: Office of Statewide Health Planning and Development (OSHPD) reports (financial, patient discharge data, quality)	2	20 years	CHA recommendations
	Admin.: OSHPD reports (seismic)	1	Permanent	CHA recommendations
	Admin.: Patient grievances/complaints and related materials	2	Resolution of issue + 6 years	CHA recommendations
	Admin.: Patient property receipts/inventories	2	Discharge of patient + 5 years	CHA recommendations
	Admin.: Policies, procedures, and manuals	2	Lie of policy or procedure + 6 years	CHA recommendations; 45 CFR §§164.316(b) and 164.530(j)
	Admin./Radiology: Reports to CDPH of unplanned contamination events re licensed radioactive material, etc.	2	Duration of license	17 CCR §30293
	Admin.: Treatment authorization requests (TARs)	2	6 years	CHA recommendations; 22 CCR §§51502.1(f)(2) and 51476 (at least 3 years from receipt of claim)
	Facilities: Medical device calibration, maintenance, inspection, testing, and tracking records/logs	2	Life of device + 6 years	CHA recommendations; 21 CFR §821.60
	Facilities/Radiology: Dose surveys, air sampling, bioassays, radioactive effluent release measurements	2	Duration of license	10 CFR §20.103, 17 CCR §30275
	Finance: Documents supporting claims for reimbursement for services rendered to patients (appointment logs, invoices, billing records)	2	Date of receipt of payment + 6 years	CHA recommendations

RECORDS RETENTION AND DESTRUCTION SCHEDULE

RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
	Finance: Contracts and supporting materials relating to participation in Medicare Advantage or Medicare Part D (prescription drug benefits) programs	2	Last contracting period or completion of audit (whichever is later) + 10 years	42 CFR §§422.504(i)(2) and 423.505(i)(2)
	HIM: Anatomical gift, birth certificate, birth room, cancer registry, tumor registry, and death certificate files	1	Permanent	CHA recommendations
	Human Resources (HR): Sharps injury log	2	10 years	CHA recommendations; 8 CCR §4193(h) (5 year minimum)
	HR/Radiology: Nuclear Regulatory Agency Form 4 (Cumulative Occupational Dose History)	2	Employment + 30 years	10 CFR §20.2104; 17 CCR §30275 (3 year minimum)
	Medical Staff: Continuing medical education (CME) records (attendance lists, credits earned/claimed)	2	6 years	2009 Institute for Medical Quality (IMQ)/CA Medical Association (CMA) CME Accreditation Standards
	Medical Staff: CME records (committee minutes, evaluation summaries, needs assessment data, activity files)	2	Longer of last accreditation period or 1 year	2009 IMQ/CMA CME Accreditation Standards
	Medical Staff: credentialing files	1	Permanent	CHA recommendations
	Medical Staff: Peer review records	1	Permanent	CHA recommendations
	Medical Staff/Quality: Quality assurance records, incident reports, root-cause analyses	2	10 years	CHA recommendations
	Nursing: Staff assignment records (including licensing/certification status, patient census for each shift, staff assignment records, nurse staffing data)	2	6 years	22 CCR §73239 (3 year min. for Skilled Nursing Facilities)
	Nursing: Staffing plan for each patient care unit, including patient care requirements, RN and other personnel staffing levels	2	6 years	22 CCR §70217(b)(4) (time between licensing surveys, at least 1 year)
	Pharmacy: Records of prescriptions (controlled substances dispensed, controlled	2	6 years	22 CFR §1304.04(h) (2 year min.); Business and

RECORDS RETENTION AND DESTRUCTION SCHEDULE

RECORD TYPE	RECORD DESCRIPTION	RETENTION CATEGORY <i>Refer to Section C, Record Retention and Destruction Policy</i>	RETENTION PERIOD	CITATION/COMMENTS
	substance inventories and records, other prescriptions and non-controlled prescription records)			Professional Code 4333; HS §11179; 16 CCR §1717(f); 21 CFR §§1304.04 and 1304.22 (3 year min.)
	Research: Human subject research records	2	30 years after completion of research	CHA recommendations
	Research: Institutional Review Board (IRB) records	2	30 years after completion of research, 6 years for other records	CHA recommendations

ⁱ Note: The California Hospital Association publishes and periodically updates a “Record and Date Retention Schedule”, which SMMC may look to for additional guidance for specific items.

HUMAN SERVICES AGENCY RECORD RETENTION SCHEDULE

Notice Regarding Records Destruction: The following records retention policy governs record retention by the Human Services Agency. The policy was developed with the following goals in mind: (1) complying with applicable legal requirements relating to records retention; (2) preserving records that provide historical information and context that may be useful to employees in the disposition of their job duties; (3) promoting sustainability and the reduced consumption of paper and other resources; and (4) cost considerations associated with long-term storage of records in paper versus electronic form.

The policy regarding specific categories of records is set forth below. If it is so stated, originals must be retained in their original format. Otherwise, the Human Services Agency shall have the discretion to destroy originals and retain scanned copies pursuant to California Government Code section 26201.

The following documents do not qualify as records and may be destroyed at any time, provided that they are not subject to a pending notice of litigation, audit, open records request, etc.: preliminary drafts, notes, calendars, copies of client documents, copies of court documents, newspapers and magazines, conference materials, and transitory emails that do not qualify for retention under any of the categories identified below.

No record or document may be destroyed if it is subject to a notice of litigation, audit, open records request, etc. that was received prior to the expiration of the retention period.

Program/Case Type	Retention Period	Citation	Notes
Children and Family Services Case Records			
Non-Emergency Child Welfare Referrals — Unfounded (Brown Referral Folders)			
Child Welfare Referrals, Non-emergency Original Classification* – Unfounded for Child Abuse and Neglect	3 years past closure*	CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement	* Referrals that are investigated and determined to be unfounded for child abuse and neglect (no report sent to CACI)
		WIC Section 10851(a)(e)	
		California Department of Social Sections Manual of Policies and Procedures Sec. 23-353	
		Child Welfare Services Sec. 31-075	
Non-Emergency Child Welfare Referrals — Inconclusive (Brown Referral Folders)			
Child Welfare Referrals, Non-emergency Original Classification – Inconclusive Child Abuse/Neglect	10 years unless a subsequent report is received on the same perpetrator during the 10 year period*	CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement	* Referrals that investigated and determined to be inconclusive for child abuse and neglect (information has been reported to CACI with the exception of neglect) * If a civil/criminal action is pending,
		PC Sections 11169(c), 11170(a)(2), 11170(a)(3)	

Program/Case Type	Retention Period	Citation	Notes
Children and Family Services Case Records			
		Government Code Sec. 911.4(c)(1), (c)(2)(A)(B) and (c)(3)	the file will be retained until the action is terminated even if past the 10 year retention period.
Non-Emergency Child Welfare Referrals — Substantiated (Brown Referral Folders)			
Child Welfare Referrals, Non-emergency Original Classification – Substantiated Child Abuse/Neglect*	Permanently Retained unless finding is changed to inconclusive or unfounded*	CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement	* Referrals that are investigated and determined to be substantiated for child abuse or neglect (information that has been reported to CACI) will be retained permanently unless the finding is changed to inconclusive or unfounded.
		PC Section 11169(c), California Department of Justice Information Bulletin 04-14-BCIA	* If the finding is changed to inconclusive and the file has been maintained for at least ten (10) years from the date of the original incident, the file is eligible for expungement.
Emergency Response Child Welfare Referrals (Green Case Files)			
Emergency Response Referrals Child Welfare Referrals	Based on action taken after initial investigation*	CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement	* Green case folders are retained by the Agency based on action taken after the initial investigation. Emergency referrals that are investigated and are not opened for service as an active case, follow procedures for brown referral folder.
		PC Section 11169(c), California Department of Justice Information Bulletin 04-14-BCIA	

Program/Case Type	Retention Period	Citation	Notes
Children and Family Services Case Records			
Voluntary or Court Ordered Child Welfare Cases (Green Case Files)			
Voluntary or Court Ordered Child Welfare Cases	Permanently Retained*	CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement	* Green case folders that have been opened for voluntary or court ordered services will be permanently retained.
		PC Section 11169(c), California Department of Justice Information Bulletin 04-14-BCIA	
Homefinding (Licensing)			
Homefinding (Licensing) file — Inactive/Closed w/out Incident	5 years*	CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement CDSS Evaluators' Manual for Foster Home Licensing Sec. 2-3151, GC Sec. 911.4(c)(1), (c)(2)(A)(B) and (c)(3), and CWS Child Fatality Protocol	* Homefinding records are retained based on the status of the foster home. * If a foster home is in active or is closed without incident, the file pertaining to that home is retained for five years.
Homefinding (Licensing) file — License Revoked/ Substantiated Incidents	10 years*		* Homefinding records are retained based on the status of the foster home. * If a foster home license has been revoked, or there is a history of substantiated problems or incidents related to the home, the file pertaining to that home is retained for ten years.
Homefinding (Licensing) file — Death of a Child	Permanently Retained*		* Any Child Welfare service case file (both green case folder and Homefinding records) in which a child died in foster care must be permanently retained.

Program/Case Type	Retention Period	Citation	Notes
Children and Family Services Case Records			
Adoptions			
Adoptions case records	Permanently Retained*	<p>CFS online handbook, Chapter 7 (Cross Program), CWS Records Maintenance and Expungement</p> <p>CDSS, MPP, Adoptions Manual Section 35035(a)(1)(b), California Code of Regulations, Title 22, Division 6, Chapter 9, Article 2, Sec. 89179(b)</p> <p>ACL No. 11-23</p>	<p>* All case files pertaining to an adoption are permanently retained. Under no circumstances can these files be expunged.</p> <p>* See ACL No. 11-23 for further details on purpose and scope of ACL for all adoption agencies.</p>
Foster Care Eligibility			
Foster Care Eligibility case records	3 years beyond last State expenditure report for that period sent to DHSS (must be kept longer if there are unresolved audits or court cases).	AFDC: ACL No. 11-08	Follow general guidelines for documents used in eligibility determination.
CFS Receiving Home			
CFS Receiving Home case records	Until the child turns 21, then sent to closed files for 1 year	None Provided	Per 3/16/11 email from Natasha Bourbonnais to Freda Cobb
CFS Family Resource Centers			
CFS Family Resource Centers case records	Adults (18 or over at time of closing): 7 years after date of closing	<p>Follows the American Psychological Association (APA) Guidelines for destruction of records. Source: American Psychological Association, Committee on Professional Practice and Standards. (2007). Record keeping guidelines. <i>American Psychologist</i>, 62(9), 993–1004.</p>	Per Elida Oettel's email to Freda Cobb on 3/21/11, the FRC program does not have a written policy, but Elida has instructed her team to follow the APA guidelines for destruction of records.
	Youth (0-17 at time of closing): 3 years after the child reaches 18 years old		

Program/Case Type	Retention Period	Source	Notes
Self-Sufficiency Case Records			
Public Assistance Records governed by California Department of Social Services (CDSS) — General Requirement			
All Public Assistance, Social Service, and Administrative Claiming Records and Their Supporting Documents	3 years from the date the state submits the last expenditure report to the federal Department of Health and Human Services (DHHS)	ACL No. 11-08 CDSS Manual of Policies and Procedures (MPP) public assistance (23-353), social service (10-119.2) and administrative claiming (25-815.38) records	
CalWORKs Case Records	3 years after the last state expenditure report has been made to DHHS for the period the records were last used to document eligibility		
CAPI Case Records			
Welfare-to-Work Case Records			
Public Assistance Records governed by California Department of Social Services (CDSS) — Special Circumstances			
Program/Case Type	Retention Period	Source	Notes
Public Assistance Records with Open Federal or State Audit	Until audit is closed*	ACL No. 11-08 MPP Sections 23-353 through 23-356	* Records and their supporting documents must be retained when there is an open federal or state audit. This includes those federal audits in progress and pending issuance of final reports.
Public Assistance Records with Criminal or Civil Litigation	3 years after the final claims is submitted for federal reimbursement*	ACL No. 11-08 MPP Sections 23-353 through 23-356	* These records include those that were used in the determination of eligibility, including denials, for the amount of retroactive benefits.
Form ABCD 278L, List of Authorizations to Start, Change, or Stop Aid Payments (or its equivalent)	10 years following closure in all cases where notification to do so by the Child Support Agency has been received*	ACL No. 11-08 MPP Sections 23-353 through 23-356	* Form ABCD 278L, List of Authorizations to Start, Change, or Stop Aid Payments (or its equivalent), bearing the original initials or the original signature of the delegated county employee who authorized the specific action, is identified as one of the records and supporting documents that must be retained in

Program/Case Type	Retention Period	Source	Notes
Self-Sufficiency Case Records			
			accordance with the retention period for the case record material.
County Welfare Warrants	5 years*	ACL No. 11-08 MPP Sections 23-353 through 23-356	* Warrant registers must be retained for five years unless a photographic record of the register has been made.
AFDC/CalWORKs or any other Case Records identified by CDSS as federal sample Quality Control (QC) cases containing an error	Until the federal sanction process is resolved for the applicable FFY*	ACL No. 11-08 MPP Sections 23-353 through 23-356	* While not required by regulation, it is desirable that those Aid to Families with Dependent Children (AFDC/California Work Opportunity and Responsibility to Kids (CalWORKs) case records and their supporting documents identified by CDSS as federal sample quality control cases containing an error be retained until the federal sanction process is resolved for the applicable Federal Fiscal year (FFY).
Public Assistance Records necessary to sustain an Intentional Program Violation (IPV) Disqualification	Retained through the life of the individuals	ACL No. 11-08 MPP Sections 23-353 through 23-356	
Welfare-to-Work case record documentation that support the tracking of time in services and on aid for CalWORKs recipients	Until the Welfare Data Tracking Implementation Project (WDTIP) system is validated for completeness and accuracy*	ACL No. 11-08 ACL 01-03 and ACIN I-29-03	* See ACL No. 11-08 Sec. A.8 for further details.
Documents (e.g. photocopies) to establish eligibility	May be purged provided that there is a written record of evidence and its pertinent content*	ACL No. 11-08 MPP Sections 48-001.112	* Documents (e.g.) photocopies) such as birth certificates and divorce papers provided by the recipient to establish eligibility may be purged (MPP Sec. 48-001.112) provided that there is a written record of the type of evidence and its pertinent content in conformance with Quality Control

Program/Case Type	Retention Period	Source	Notes
Self-Sufficiency Case Records			
			(QC) requirements. See ACL No. 11-08 Sec. A.9 for further information.
Documents that were never used to document eligibility	May be purged provided that they have no potential of being used to take action on a case*	ACL No. 11-08 MPP Sections 23-353 through 23-356	* See ACL No. 11-08 for further information.
Food Stamps/CalFresh — General Requirements			
Program/Case Type	Retention Period	Source	Notes
Food Stamps/CalFresh — Program Records	3 years from the month or origin*	ACL No. 11-08 CDSS MPP Sections 23-353, 10-119.2 and 25-815.38	* For records such as, but not limited to, transaction receipts, master issuance files, records-for-issuance for each month, authorization documents, cashier's daily reports, Notices of Change, Form FNS-250s (Food Coupon Accountability Report), Household Issuance Record cards, and tally sheets shall be retained for three years from origination. See ACL No. 11-08 Sec. B for further information.
Food Stamps/CalFresh — Fiscal Records	3 years from the date of fiscal or administrative closure*		* Any documents or records that are involved in any billing or claim shall be retained for three years from the date of fiscal or administrative closure. See ACL No. 11-08 Sec. B for further information.
Food Stamps/CalFresh — Special Circumstances			
Program/Case Type	Retention Period	Source	Notes
Food Stamps/CalFresh Case Records That Are Part of an Assistance Case Record	More than 3 years*	ACL No. 11-08 CDSS MPP 23-353 through 23-356	* See MPP 23-353 and 23-356 Part A, Public Assistance Records.
Food Stamps/CalFresh Records with	Until resolution of the audit*		* This includes those federal audits in progress, pending issuance of final

Program/Case Type	Retention Period	Source	Notes
Self-Sufficiency Case Records			
Open Federal or State Audit			reports, and the unresolved audits listed on Attachments I, II and IV of ACL No. 11-08.
Food Stamps/CalFresh Records with Criminal or Civil Litigation	3 years after the final claim is submitted for federal reimbursement*		<p>* Records that must be retained include those documents that were used in the determination of eligibility (including denials) and those used to determine the amount paid as retroactive benefits. Other documents in the case records must be retained in accordance requirements for public assistance records specified in ACL No. 11-8.</p> <p>* See Attachment V of the ACL for court cases involving CDSS that require the extended retention period.</p>
Food Stamps/CalFresh Case Records and their supporting documents identified by CDSS as federal sample Quality Control (QC) cases containing an error	Until the federal sanction process is resolved for the applicable FFY*		<p>* While not required by regulation, it is desirable that those CalFresh program case records and their supporting documents that have been identified by CDSS as federal sample QC cases containing an error, should be retained until the federal sanction process is resolved for the applicable FFY. See attachment VI of ACL No. 11-8.</p>
Food Stamps/CalFresh Records Necessary to Sustain an Intentional Program Violation (IPV) Disqualification	Retained through the life of the individuals		
Food Stamps/CalFresh: Inadvertent Household Error (IHE) and Administrative Error (AE) Claims	The CWD shall take action on inadvertent household and administrative error claims for which less than three years have		* Also see AICN I-03-02 for Question and Answer regarding case records retention requirements.

Program/Case Type	Retention Period	Source	Notes
Self-Sufficiency Case Records			
	elapsed between the month the overissuance occurred and the month the CWD determined by computation that an overissuance occurred, irrespective of the date the DFA 842 was completed.		
General Assistance			
General Assistance case records	3 years from discontinuance/denial effective date	Welfare & Institutions Code 10851	
Medi-Cal			
Medi-Cal case records	3 Years from the last date of aid or services*	Welfare & Institutions Code Section 10851	* MPP Sections 23-353 through 23-356 set forth record retention requirements which exceed the general three year rule. These exceptions require retention of Medi-Cal records beyond the three-year rule when necessary for an open federal or state audit and pending criminal/ civil litigation or court orders.
		ACWDL 85-40 and 86-51	
		CAC, Title 22, Sec. 50111	
		State Department of Social Services Manual of Policies and Procedures (MPP) Section 23 and 23353-23-356 set forth record retention requirements that exceed the general 3-year rule.	

SMC Works Case Records			
Program/Case Type	Retention Period	Source	Notes
Workforce Investment Act — Youth	3 years from the date client services are terminated and if litigation or audit is initiated prior to the end of the three (3) years, until resolution*	WIA Directive WIAD05-06	* Client files must be retained for as long as the client is receiving services. Once services to the client are terminated, the file must be retained for three years per WIA Directive WIAD05-16. In the case of litigation or an audit initiated prior to the end of the three years, the files must be retained until resolution, in accordance with Title 29 Code of Federal Regulations (CFR) Section 97.42 and Title 29 CFR 95.53, or for three years, in accordance with WIA Directive WIAD05-16, whichever date is later. [10/06]
Workforce Investment Act — Adult		Title 29 Code of Federal Regulations (CFR) Sec. 97.42 and Title 29 CFR 95.53	
Workforce Grants case records	Same as above	Same as above	Same as above
VOCATIONAL REHABILITATION SERVICES IS GOVERNED BY A SEPARATE POLICY REFERENCED BELOW			
Vocational Rehabilitation Services — Adult	Adults Chart Destruction (Paper): 10 or more years*	San Mateo County Health System Behavioral Health and Recovery Services (BHRS) Policy 00-04	*In 1981, the San Mateo County Board of Supervisors authorized by resolution the destruction of client charts for adults that have been inactive for ten or more years; inactive charts of minors could be destroyed at ten or more years after the minor reached age eighteen. (Note: California regulations more liberally allow destruction of an adult chart seven years after the date of discharge. For youths, California regulations prescribe that an inactive chart shall be kept for at least one year after the minor has reached the age of eighteen, but in no

SMC Works Case Records			
Program/Case Type	Retention Period	Source	Notes
			case for less than seven years.) See BHRS Policy 00-04 for further details.
VOCATIONAL REHABILITATION SERVICES IS GOVERNED BY A SEPARATE POLICY REFERENCED BELOW			
Vocational Rehabilitation Services — Youth	Youth Chart Destruction (Paper): 10 or more years after the minor reaches 18*	San Mateo County Health System Behavioral Health and Recovery Services (BHRS) Policy 00-04	*In 1981, the San Mateo County Board of Supervisors authorized by resolution the destruction of client charts for adults that have been inactive for ten or more years; inactive charts of minors could be destroyed at ten or more years after the minor reached age eighteen. (Note: California regulations more liberally allow destruction of an adult chart seven years after the date of discharge. For youths, California regulations prescribe that an inactive chart shall be kept for at least one year after the minor has reached the age of eighteen, but in no case for less than seven years.) See BHRS Policy 00-04 for further details.
TANF			
TANF aid recipient time limit tracking records	From December 1, 1996 to present	ACL No. 03-01, ACL No. 11-08, ACIN No. I-29-03	Maintain records of the computed monthly grant amounts (including special needs payments) and diversion payment amounts for each adult or minor head of household. • Retain case narrative portions and appropriate forms in order to support exceptions to the time limits, including exemptions and other program requirements that affect the time limits such as sanctions and domestic violence good cause waivers.

SMC Works Case Records			
Program/Case Type	Retention Period	Source	Notes
			<ul style="list-style-type: none"> • Retain documentation that verifies the months in which TANF aid was received in other states or territories. (TANF assistance may have been provided as early as August 1996.)
CalWORKs			
CalWORKs aid recipient time limit tracking records	From January 1, 1998 to present	ACL No. 03-01, ACL No. 11-08, ACIN No. I-29-03	<p>Maintain records of the computed monthly grant amounts (including special needs payments) and diversion payment amounts for each adult or minor head of household.</p> <ul style="list-style-type: none"> • Retain case narrative portions and appropriate forms in order to support exceptions to the time limits, including exemptions and other program requirements that affect the time limits such as sanctions and domestic violence good cause waivers.

San Mateo County Probation Department's Records Retention Schedule

No.	Record Type	Description	Retention Period	Citation/Comments
Accounting/Finance Records				
100	Accounts payable	Records documenting payment required to be made for goods and services provided <u>to</u> the County. May include claims, credit card transactions, invoices, petty cash records, refunds, vouchers and warrants.	5 years	GC 26907
101	Accounts receivable	Records documenting payment received for goods and services provided <u>by</u> the County. May include collection notices & records, credit advices, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets.	5 years	GC 26907
102	Transaction summaries	Journals, registers, and subsidiary ledgers dedicated to individual funds or functions.	5 years	GC 26907
103	Audit reports	Record of the examination of county finances as prepared by internal or external auditors. May include financial reports and statements showing the status of all county funds and the narrative audit report.	Permanent	Best practice determined through business and government agency benchmarks
104	RFPs, Bids/Proposals – accepted	Record of accepted submissions offered by a vendor or contractor selling goods or services to the County. May include bid (plus spreadsheet and award letter), proposal, request for quotation (RFQ), request for proposal (RFP) and request for information (RFI).	Completion of contract + 5 years or after Funding Agency audit, if required, whichever is longer	Statewide guidelines propose termination + five years; CCP §§336(a), 337 et. seq.; GC 26202
105	RFPs, Bids/Proposals – rejected	Record of submissions offered by a vendor or contractor selling goods or services to the County other than the one that is accepted. May include bid (plus spreadsheet and award letter), proposal, request for quotation (RFQ), request for proposal (RFP) and request for information (RFI).	2 years	GC 26202

No.	Record Type	Description	Retention Period	Citation/Comments
106	Budgets – department copy	The budget document formally approved for the County by the Board of Supervisors. The official version will be maintained by the County Auditor-Controller pursuant to its department-specific retention schedule.	2 years	Final must be filed with the County Auditor and State Controller
107	Financial reports - annual	Financial reports produced for a single fiscal year in order to monitor spending, workflow, performance measures and other department operations. May include monthly revenue & expenditure reports, annual fixed asset ledgers, and appropriation transfers.	5 years	GC 26907
Agreements				
200	Contracts / Agreements - general	The binding agreement to provide goods or services, but excluding those for land, buildings or major improvements. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, procurement documentation, and salary administration. May also include working files if they relate to negotiations or changes.	Until date of completion + 7 years	GC 26202
201	Grants	Records related to the application, award, implementation and conclusion of a grant. All records including those related to the receipt and dispersal of grants funds, contract and reports. Grant records should be maintained together. Records may include the proposal document, correspondence, activity summary reports, financial and performance reports, memos, notes, invoices, billings, expense reports, completion check-off form, audit results, etc.	Until date of completion + 5 years or after Funding Agency Audit, whichever is longer	Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42(b), 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42(b); 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133GC §26202
Legal Records Maintained by Departments				
300	Public Records Act Requests	Records distributed to the public in response to a public records act request. Includes the original request, the department response and a <u>copy</u> of the records provided if applicable.	Until final resolution + 2 years	GC 26202
301	Juvenile Probation Files	Juvenile probation records to include all documents related to the court action/disposition, criminal conduct and the investigation and supervision of juvenile probationers.	7 years. For WIC 707 B Offenses the file will be retained permanently	826.6 (a)

No.	Record Type	Description	Retention Period	Citation/Comments
302	Juvenile Sealed Records	Juvenile probation records to include all documents related to the court action/disposition, criminal conduct and the investigation and supervision of juvenile probationers.	5 years after the record has been sealed	389 WIC
303	Adult Probation files	All adult probation records related to the criminal conduct, court action/disposition and the supervision and investigation of adult probationers.	10 years. For cases involving serious felonies or sex offenses record is retained 25 years.	1203.10 PC
304	Subpoenas	Records related to subpoenas or subpoenas duces tecum received by a County department. This category only to those subpoenas where the County is <u>not</u> a party to the litigation.	Until final resolution + 2 years	Best Practice; GC 26202
Personnel				
400	Leave of Absence Requests – department copy (originals are maintained by HR in the personnel file)	Copy of approved request	7 years from separation of employment.	GC 26201
401	Personnel Files	Records documenting an employee's employment history. Records may include appointment letters, college transcripts, demotion, disciplinary notices or documents, employment applications & verifications, exit interviews, layoff, letters of recognition, new hire paperwork, performance evaluations, permanent status letter, personal data information changes, position descriptions, promotions, recall, or discharge, rates of pay, reclassification or reassignment, resume, selection for training, termination paperwork including last date of service, test documents if used as a basis for employment decision. Files may also contain employee-related records that are scheduled for temporary retention. Personnel files are kept current by removing temporary records upon expiration of the retention periods specified. NOTE: This includes records related to volunteers.	7 years from separation of employment	Labor Code 1198.5(c) requires retention of personnel files for not less than 3 years after termination of employment

No.	Record Type	Description	Retention Period	Citation/Comments
402	Personnel Files – Supervisor's Notes	Supervisor's copy of records documenting an employee's work history from one evaluation to the next. Records may include relevant correspondence including email, copies of disciplinary actions, memoranda and notes. The information is maintained and used to complete the employee's annual evaluation.	Completion of employee's annual evaluation or separation from employment unless the employee was terminated due to cause	GC 26202
403	Training History	Records retained to confirm participation in and successful completion of job related training programs. Includes documentation of employee continuing education, training and development, including employee identification, training received, dates of training and related records.	7 years from completion of training	Department Preference; OSHA requires 5 years for safety records; Statewide guidelines propose 7 years; 8 CCR §3203 et seq., 8 CCR 14300.33(a); 29 CFR 1602.31, 29 CFR 1602.14, 29 CFR 1627.3(b)(2), 29 CFR 1904.33, 29 CFR 1904.44; LC §6429(c); GC §§12946, 34090, 53235.2(b)
404	Background Files for Unsuccessful Applicants	All documents related to an applicant's background investigation, including employment application, Personal History Questionnaire and Statement, employment history and background investigation report.	5 years Minimum of 3 years	29 CFR, 1602.31, 1627.3(b)(ii), 8 CCR 3201(d)(1) et seq., GC 12946, 26202; 29 USC 1113
405	Background Files for Sworn Employees	All documents related to an applicant's background investigation, including employment application, Personal History Questionnaire and Statement, employment history and background investigation report.	10 years from termination or retirement	29 CFR, 1602.31, 1627.3(b)(ii), 8 CCR 3201(d)(1) et seq., GC 12946, 26202; 29 USC 1113

No.	Record Type	Description	Retention Period	Citation/Comments
406	Background Investigations for Non-Sworn Employees	All document related to an applicant's background investigation including employment application. Personal History Statement and employment and character references.	5 years from termination or retirement	29 CFR, 1602.31, 1627.3(b)(ii), 8 CCR 3201(d)(1) et seq., GC 12946, 26202; 29 USC 1113
407	Volunteer Background Investigation Files	All document related to a volunteer's background investigations including Department of Justice and Federal Bureau of Investigation fingerprint clearance.	3 years	29 CFR, 1602.31, 1627.3(b)(ii), 8 CCR 3201(d)(1) et seq., GC 12946, 26202; 29 USC 1113
408	Internal Affairs Investigation Records	All documents related to an Administrative Investigation including Notice of Interview, witness and subject statements, investigative report and all documents used in determining a finding.	6 years	EVC 1045; GC 12946, 26202; PC 801.5, 803 (3), 832.5; VC2547
Miscellaneous				
500	Complaints/Concerns from Citizens	Records documenting concerns or complaints raised by citizens relating to the County's operations.	2 years	County preference; Claims must be filed in 6 months; CCP §§338 et seq., 340 et seq., 342, GC §945.6, GC §12946, GC §26202; 29 CFR 1602.31; 29 CFR 1602.14

No.	Record Type	Description	Retention Period	Citation/Comments
501	Formal Citizen's Complaint	All citizens' complaints with a sustained or founded allegation.	6 years	
502	Correspondence – Routine	May include Administrative, Chronological, General Files, Letters, Memorandums, Miscellaneous Reports, Press Releases, Media, Public Releases, Reading File, Working Files, Received and Referred to other Departments, Calendars, duplicates of any record, Fax Logs, etc. (Note that preliminary drafts and materials not retained in the ordinary course of business are not "records" subject to retention.)	2 years	GC 26202; GC 6252 and 6254(a)
503	Property Sheets	Itemized list of items seized from adult and juvenile probationers.	90 days from termination of probation	GC 26202
504	Stored/Seized Property	All contraband seized from adult and juvenile probationers	90 days from termination of probation	GC 26202
505	Facilities	Records related to the maintenance, repair and inventory of County owned property. May include maintenance work orders and repair reports. Does not include purchase or lease records.	End lease or ownership + 7 years	GC 24051
506	Facility Use Application/Permits	Requests to use County facilities and approval of such requests.	2 years	GC 26202

Youth Services Center				
No.	Record Type	Description	Retention Period	Citation/Comments
600	Juvenile Hall	All document related to the detention of a minor in	7 years	GC 26202

	Admissions/Unit File	custody,		
601	Unit Logs	Log documenting the daily activities of a juvenile hall living unit including assigned staff, inventory checks, movement of minors and unit visitors etc.	7 years	GC 26202
602	Shift Schedules Records	Daily record of scheduled employees including unit assignment.	7 years	GC 26202
603	Visiting Logs	Record of all persons visiting minors in custody.	7 years	GC 26202
604	Grievances	Grievances filed by minors in custody including findings	7 years	GC 26202
605	Incident Reports	Reports required to be completed by staff documenting all significant incidents such as actions by minors resulting in disciplinary action.	7 years	GC 26202
606	Security Camera Video	All video recordings from cameras inside the Youth Services Center and along the facility perimeter.	2 years	GC 26202
607	Cell Extraction Video	All video recorded during a room extraction involving a minor in custody.	2 years	GC 26202

