

## Exhibit D City of Lompoc Records Retention Schedule

CITY MANAGER'S OFFICE

Description	Retention Period	Statutory Reference	Remarks
<b>ADMINISTRATIVE RECORDS</b>			
General Correspondence	C+2*	GC 34090	Email messages related to a current project or a policy-making decision should be retained along with related records
Legislative Letters	C+2		
Supervisor Files regarding employee	TER**		**Upon employee termination file to be transferred to HR
<b>SUBJECT FILES</b>			
Files established pertaining to various subjects, Project files, Chronological Files	C+2		
<b>SPECIALIZED FILES</b>			
Administrative Procedures Manual	P		

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\* See Exhibit B – Definitions – for definitions of terms and abbreviations.

## Exhibit D City of Lompoc Records Retention Schedule

CITY CLERK

Description	Retention Period	Statutory Reference	Remarks
<b>ADMINISTRATIVE RECORDS</b>			
General Correspondence	C+2*	GC 34090	Email messages related to a current project or a policy-making decision should be retained along with related records
Public Records Requests – Requests, responses and log.	C+2	GC 34090	
<b>SUBJECT FILES</b>			
All subject files included, unless specifically set forth elsewhere.	C+2	GC 34090	
Contracts	P	<a href="#">CCP 337</a>	Department Opinion
Director’s Hearing Appeals – Planning and Community Environment Director	TER+2		Department Opinion
Franchises and Licenses	P		
Legal Advertising	C+4	<a href="#">CCP 337</a> ; <a href="#">54960.1(c)(1)</a> ;	Includes public hearing notices, legal publications
Northern California Power Agency – Agreements including Transmission Agency of Northern California	P		
Sister Cities	P		Department Opinion
Water Rights – Agreements	P		
<b>CITY COUNCIL</b>			
a) Agenda/Staff Reports	C+2	GC 34090	b) Approved minutes sent to webmaster electronically
b) Minutes of all meetings	P	GC 34090(e)	
c) General Correspondence	C+2	GC 34090	
Ordinances	P	GC 34090(e)	
Proclamations	C+2	GC 34090	Proclamations not Assigned a Resolution or Ordinance Number
Resolutions	P	GC 34090(e)	
<b>BOARDS/COMMISSIONS</b>			
Boards & Commissions			
a) Applications & Appointments	TER+5	GC 34090	
I. Appointed	C+2		
II. Not Appointed	TER+2		
b) Letters of Appointment	TER+2		
c) Notices of Termination	C+2		
d) General Correspondence	C+2		
<b>SPECIALIZED FILES</b>			
<b>Elections/Political Reform Act</b>			
AB1234 Ethics Training –	C+5	<a href="#">GC 53235.2(2)b</a>	

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Description	Retention Period	Statutory Reference	Remarks
Proof of training attendance			
Campaign Disclosure Statements-			
a) Elected Members & Log of Filers (paper)	P	<a href="#">GC 81009(b)(g)</a>	
b) Non-elected members (paper)	C+5 C+7	<a href="#">GC 81009(b)</a> <a href="#">GC 81009(c)</a>	
c) Others – Committees, Supporting/Opposing Measures (paper)	C+4	<a href="#">GC 81009(f)</a>	
d) Copies received (e.g. Form 410) (paper)	C+10	<a href="#">GC 84615(i)</a>	
e) Electronically filed			
Council Member –			
a) Oaths of Office	P		Department Opinion
b) Official Group Photo	P		
FPPC Agency Forms			
a) Gift to Agency Report – Form 801	C+7	<a href="#">FPPC 18944</a>	
b) Behested Payment Report Form 803	C+7	<a href="#">GC 82015</a>	
b) 804 New Positions – Form 804	C+4 C+4	<a href="#">FPPC 18734</a> <a href="#">FPPC 18734</a>	
c) Consultants – Form 805	C+2	<a href="#">FPPC 18705.5</a>	
d) Public Official Appointments – From 806		<a href="#">GC 34090</a>	
Nominations/Candidates		<a href="#">EC 17100</a>	
a) Elected	P		Department Opinion
b) Non-elected	TER+2		<i>TER = Certification of elections results date or failure date</i>
Oaths Of Office	TER+2		Department Opinion
a) Elected Council Member	P		<i>TER = Leaving Office date</i> Department Opinion
Petitions, Initiatives, Referendum, Recall & Charter Amendments	TER+1	<a href="#">EC 17200</a> <a href="#">EC 17400</a> <a href="#">GC 6253.5</a>	RESTRICTED ACCESS <i>TER = Certification of election results date or failure date</i> Department Opinion
Statement Of Economic Interest – Form 700 (Designated Filers) & Log of Filers	C+7	<a href="#">GC 81009(e)(g)</a>	
Statement Of Economic Interest – Form 700 (GC 87200 Filers) & Log of Filers	C+4	<a href="#">GC 81009(d)(g)</a>	
<b>Real Property</b>			
Annexations/Acquisitions	P	<a href="#">GC 34090a</a>	

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CITY CLERK

Description	Retention Period	Statutory Reference	Remarks
Binding Instruments a) Land – Deeds, Easement, Deeds of Trust b) Easement Vacations, Leases & Purchases c) Encroachments, Agreements & Conveyance d) Liens, Condemnation	P	<a href="#">GC 34090a</a>	
Performance, Security and Payment Bonds	C+2 after purpose of bond fulfilled		
Community Development Block Grants (CDBG) a) Deeds of Trust b) Promissory Notes	P	GC 34090a	
Subdivision Agreements	P	<a href="#">GC 65864</a> & <a href="#">65869.5</a>	

## Exhibit D City of Lompoc Records Retention Schedule

### HUMAN RESOURCES

Description	Retention Period	Statutory Reference	Remarks
<b>ADMINISTRATIVE RECORDS</b>			
General Correspondence	C+2*		Email messages related to a current project or a policy-making decision should be retained along with related records
Standards – Policies, Rules, & Regulations	C+2		Personnel Rules
<b>SUBJECT FILES</b>			
Subject Files (Any)	C+2		
<b>BOARDS/COMMISSIONS</b>			
Affirmative Action Committee a) Agenda/Staff Reports b) Minutes of all meetings c) General Correspondence	C+2 P C+2	GC 34090 GC 34090(e) GC 34090	b) Approved minutes sent to webmaster electronically
Central Safety Committee – a) Agenda/Staff Reports b) Minutes of all meetings c) General Correspondence	C+2 P C+2	GC 34090 GC 34090(e) GC 34090	b) Approved minutes sent to webmaster electronically
<b>SPECIALIZED FILES</b>			
<b>Benefits</b>			
Employee Benefit Files – DCCAP (dependent care), Deferred Compensation, Dental, EAP, Life, Medical, Vision/LTD Claim Applications, Leave Domestic Partner Reimbursement; Sick Leave; Vacation; Bilingual Pay; Education Incentive; Tuition Reimbursement	C+3	<a href="#">29 CFR Section 1627.3</a>	Restricted Access EAP = Employee Assistance Program LTD = Long Term Disability
Flexible Spending Account	C+3		
Retirement Cal-PERS	TER+1	<a href="#">29 CFR Section 1627.3</a>	TER = Termination of Plan
<b>Employee Relations</b>			
Compensation – Mgmt. Salary History Sheets, Job Descriptions, Salary Surveys, Compensation Plans	C+7		Department Opinion
Discrimination Complaints	C+3	29 CFR 1602.15	
Grievances – Arbitration, Grievances Reports, IBEW, IAFF, LPOA, Window Period Requests, Sexual Harassment & Discrimination	C+7	<a href="#">29 CFR Section 1602.21 (h)</a>	Restricted Access

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Description	Retention Period	Statutory Reference	Remarks
Negotiations – Notes, Notebooks, Correspondence, Contracts, & Memorandum of Agreement (MOA)	C+10	<a href="#">29 USC Sections 211(c), 203(m), 207(g)</a>	Restricted Access
<b>Employment</b>			
Affirmative Action Plans	P		
Affirmative Action Training	C+10		
Classification: Requests for reclassification, PDQ's, Job Descriptions, Desk Audits	C+2	<a href="#">Labor Code Section 1197.5(d)</a>	
EE04 Reports	P		
Personnel Files: (a) Regular Status Budgeted Employees	TER+15	<a href="#">29 CFR Section 1627.3 Labor Relations Section 1174</a>	Restricted Access
(b) Special Categories of Employees: Water Quality Control Plant – Senior Chemist, Chemist, Laboratory Tech, Senior Industrial Waste Investigator, Industrial Waste Investigator, Senior Mechanic, Mechanic, Senior Operator, Wastewater Plant Operators I/II/III, Industrial Waste Inspectors, Electricians, Wastewater Plant Operations Supervisor; Wastewater Collection Supervisor; Manager, Laboratory Services*	TER+30	<a href="#">29 CFR 1910.1020;</a> <a href="#">Cal OSHA 8 Cal Code Regs 3204</a>	Restricted Access *There may be other employees in safety-sensitive positions in other locations with same extended retention schedule
(c) Part-Time Non-Budgeted Employees	TER+5	<a href="#">29 CFR Section 1627.3 Labor Relations Section 1174</a>	Restricted Access
(d) Volunteers; Auxiliary Firefighters	TER+5		Restricted Access
Recruitment – Applications, Resumes, Alternate Lists, Testing, Eligibility Lists, Requisitions	C+3	<a href="#">49 USC Sections 2000e-8; 2000e-12;</a> <a href="#">29 CFR Section 1602.12</a> and <a href="#">1602.14</a>	Restricted Access
Retirement – Public Employee Retirement System	TER+4	<a href="#">29 USC Section 1001 – 1381</a>	Restricted Access
<b>Human Resources Development</b>			
Training – Program Lists, Instructor Lists, Class Rosters, & Evaluations, LCW Training	C+4		Department Opinion
<b>Workers' Compensation</b>			
Workers' Compensation Claim Files	TER+5 (after claim is inactive)	<a href="#">Labor Code Section 5410</a>	Restricted Access

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Description	Retention Period	Statutory Reference	Remarks
<b>SUB-DEPARTMENT</b>			
<b>Safety &amp; Risk Management</b>			
DOT Drug and Alcohol Testing Program Records – a) Records of Alcohol Tests with >0.02; Records of Verified Positive Drug Test Results; Documented Refusals to take required or substituted tests; SAP Reports; Follow-up Tests; Copies of Annual Calendar Year Summary	C+5	<a href="#">49 CFR Section 193-9</a> 49 CFR 382 and 655	Restricted Access
b) Information received from previous employers;	C+3		*TER = Until the individual employee no longer performs the functions which require the training
c) Records Related to education and training of supervisors and drivers;	*TER+2		
d) Calibration documentation of EBTs	C+5		
e) Negative drug or alcohol test results	C+1		
Safety Reports: a) Investigation Reports	TER+5		
b) Hearing Tests	C+4		
Safety Training Certificates	C+1		
Vicious Dog Hearings	C+5		
<b>Environmental Health and Safety</b>			
Agency Inspection Records	C+5	40 CFR, CCR Title 22, 23, 25, 27	
Air Pollution Control District requirements	C+5	Local APCD rules - citation numbers are dependent on the district	
Asbestos survey records	Life of the building	40 CFR, Part 763	
Biennial Report	C+3	Title 22, CCR § 66262.40(b)	
CalOHSAs Forms and Reports	C+5	T8 CCR 14300.33	
Confined Space Entry Permits	C+1	CCR Title 8 §5157(e)(6)	
CPR Training Records	C+1	CSU Best Practice	
Defensive Driver Training	C+4		
Employee "pull" notices (DMV Reports)	C+4	CVC 1808.1 (CSUF)	Only if employee has violation.
Employee Exposure Records	TER+30	T8 CCR 3204	
Employee Medical Records	TER+30*	T8 CCR 3204	*The medical records of employees who worked less than 1 year need not be retained past TER date if they are provided to the employee.

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Description	Retention Period	Statutory Reference	Remarks
Employee Tenant Asbestos Notifications (annual notification)	As Long as the Asbestos Containing Material is in the building	CCR Title 8 §1529(n)(6)	
Employee training records, excluding hazardous waste training records	C+3	CCR Title 8	
Employer Pull Notice; Exposure Determinations; Exposure Measurements	TER+30	T8 CCR 5217(o)(2); T8 CCR 5217(o)(1)	
Environmental Remediation Records	C+10	40 CFR, CCR Title 22, 23, 25, 27 (CSUF)	
Exposure Monitoring Data	P	CCR Title 8 §3204 (b)(2 )& (d)(1)(b)	
First Aid training records	C+3	29 CFR 1910.1030	
Hazardous Materials Shipping Papers - Receiver requirements	C+1	49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)	
Hazardous Materials Shipping Papers - Shipper requirements	C+2	49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)	
Hazardous Waste Exception Report	C+3	Title 22, CCR § 66262.40(b)	
Hazardous Waste Facility Inspections	C+3	22 CCR 66364.15 (d) (CSUF)	
Hazardous Waste Manifests	C+3	CCR Title 22 §66262.40(a) and 66264.71(b)(6)	
Hazardous Waste Shipping papers	C+3	22 CCR 66262.40(9), 66264.71 (b) (6) (CSUF)49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)	
Hazardous waste training records	TER+3	CCR Title 22 §66264.16 (e)	
IH Equipment Records: purchase, repair, and calibration	Purchase and Repair Records - Duration of Equipment. Calibration Records - Permanent	CSU Best Practice	
IIPP periodic inspection records	C+1	CCR, Title 8, 3202 (b)(1)	
Injury Reports (OSHA 300, 301, 300A)	5 years following the end of the calendar year the records cover	CCR Title 8 §14300.33(a)	
Injury Reports reported to Police	C+7	Best Practice	
Laboratory analysis results for hazardous waste determinations	C+3	Title 22, CCR § 66262.40(c)	
Lead inspection/risk assessment records	C+3 or life of the building	CCR, Title 17, 36000 (b)	



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Material Safety Data Sheets	TER+30	T8 CCR 5194 (?); 3204(c)(5)(D)	
Medical Monitoring, such as those required for the hearing conservation program, respiratory protection, and asbestos and lead specific requirements. Typically comes as a confirmation/permission from a doctor.	TER+30	CCR Title 8 §3204 (d)(1)(a)	
Medical Waste Generator Records - Large Quantity Generators	C+3	CA HSC 117975	
Medical Waste Generator Records - Small Quantity Generators	C+2	CA HSC 117975	
Noise Exposure – a) Noise exposure measurement records; b) Audiometric test records	C+2 TER	T8 CCR 5100	
Personal Exposure Monitoring (Associated with employee exposure to toxic substances or harmful physical agents).	TER+30	CCR Title 8 §3204 (d)(1)(b)	
Pesticide Monthly Use Reports	C+2	CCR Title 3 §6624 (f)	
Radiation & Dosimetry Exposure Reports. Typically comes as a confirmation/permission from a doctor.	TER+30	10 CFR 20.2106	
Radioactive Material historical inventories; storage and use locations	Originals 3 Years after the transfer or disposal of the radioactive source	17 CCR 30293	
Radioactive Material License and Amendments	Originals 30 Days after expiration	17 CCR 30194	
Radioactive Material, Laser, and Controlled Substance Use Authorizations	P	ANSI Z 136.1	
Regulatory Agency permits	C+3	Title 25: 40510 & 44344; Title 22, 23, 27 (CSUF)	
Regulatory Agency required plans	C+3	40 CFR, CCR Title 22, 23, 25, 27 (CSUF)	
Respirator Fit Test Records	Until next fit test is administered. Fit tests are required annually.	CCR Title 8 §5144(m)(2)(B)	
Student training records	C+3	Best Practice	

**Exhibit D**  
**City of Lompoc**  
**Records Retention Schedule**

HUMAN RESOURCES

Description	Retention Period	Statutory Reference	Remarks
Water quality data under Regional Water Quality Control Board Orders	C	Waste Discharge Order No. R3-2003-035	
Water quality data under Sanitary Sewer Permit	C+3		