

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

715A



FROM: Assessor-County Clerk-Recorder / Records Management and Archives Program

SUBMITTAL DATE:
November 8, 2011

SUBJECT: Approval of five revised Departmental Records Retention Schedules (DRRS) and two new DRRS.

RECOMMENDED MOTION: That the Board of Supervisors approve the attached revised Departmental Records Retention Schedules for the County Health Agency's Clinic Management, Children's Medical Services, HIV-AIDS, Disease Control (Administration) and Disease Control (Tuberculosis) divisions, and the new Departmental Records Retention Schedule for the EDA's Real Estate and Project Management Office divisions and direct the Clerk of the Board to amend the list of Board-approved records retention schedules contained in Section D.7 of Board Policy A-43 to include these schedules.

BACKGROUND: In accordance with the provisions of Policy A-43, approved on January 13, 2004, the Records Management and Archives Program (RMAP) worked with the County Executive Office and the offices of Risk Management, Auditor-Controller and County Counsel to review and update the County General Records Retention Schedule and the Departmental Records Retention Schedules attached.

Approval of the attached schedules will authorize the disposal of certain records following minimum retention periods. This will enable the County to eliminate the storage and maintenance of obsolete materials while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Larry W. Ward

Larry W. Ward
Assessor-County Clerk-Recorder

FORM APPROVED COUNTY COUNSEL.
BY: TAWNY LIEU
DATE: 10-26-11
Departmental Concurrence

| | | | | |
|-----------------------|-------------------------------|-------|-------------------------|----|
| FINANCIAL DATA | Current F.Y. Total Cost: | \$ NA | In Current Year Budget: | NA |
| | Current F.Y. Net County Cost: | \$ NA | Budget Adjustment: | NA |
| | Annual Net County Cost: | \$ NA | For Fiscal Year: | NA |

| | | |
|----------------------------|----------------------------------|-------------------------------------|
| SOURCE OF FUNDS: NA | Positions To Be Deleted Per A-30 | <input type="checkbox"/> |
| | Requires 4/5 Vote | <input checked="" type="checkbox"/> |

C.E.O. RECOMMENDATION:

APPROVE

BY: *Karen L. Johnson*
Karen L. Johnson

County Executive Office Signature

Dept't Recomm.: Consent Policy

Per Exec. Ofc.: Consent Policy

Prev. Agn. Ref.: _____ District: ALL Agenda Number: _____

ATTACHMENTS FILED WITH THE CLERK OF THE BOARD

3.2

**Record Retention Schedules
Listed by Department
November 2011**

REVISED SCHEDULES

Community Health Agency

-Public Health

Clinic Management (Attachment A)

Supersedes schedule adopted January 23, 2007 Agenda # 3.5

Children's Medical Services (Attachment B)

Supersedes schedule adopted January 23, 2007 Agenda # 3.5

HIV-AIDS (Attachment C)

Supersedes schedule adopted January 23, 2007 Agenda # 3.5

Disease Control (Administration) (Attachment D)

Supersedes schedule adopted January 23, 2007 Agenda # 3.5

Disease Control (Tuberculosis) (Attachment E)

Supersedes schedule adopted January 23, 2007 Agenda # 3.5

NEW SCHEDULES

Economic Development Agency

-Real Estate

All sections (Attachment F)

Economic Development Agency / Redevelopment Agency

-Project Management Office

All sections, including Projects division of Redevelopment Agency
(Attachment G)



County of Riverside, California Departmental Records Retention Schedule (DRRS_CHA-CM_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Community Health Agency, Public Health, Clinic Management (CHA-CM) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by Clinic Management before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, Clinic Management will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, Clinic Management will maintain the requested records until the close of litigation plus an additional ten (10) years. Clinic Management is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, Clinic Management is

responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

CCR = California Code of Regulations

CFR = Code of Federal Regulations

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Public Health / Community Health Agency

Division: Clinic Management

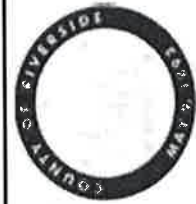
Schedule #:

DRRS_CHA-CM_2011_Rev02

Section: All sections



| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-----------|-------------------------|---|-------------------|---|---------------------------|----------------------|-------------------|
| Title | Description | | | | | | |
| CHA-CM100 | Immunization Records | Immunization records for walk-in patients that do not have medical records numbers. | Clinic Management | 18 years + 1 or last date of entry + 7, whichever is longer | 22 CCR 70751 | Shred/Delete | |
| CHA-CM150 | Medical Records, Adults | Medical and Dental records from the County Family Care Clinics. | Clinic Management | Last date of entry + 7 | 22 CCR 70751 | Shred/Delete | |
| CHA-CM200 | Medical Records, Minors | Medical and Dental records from the County Family Care Clinics. | Clinic Management | 18 years + 1 or last date of entry + 7, whichever is longer | 22 CCR 70751 | Shred/Delete | |
| CHA-CM250 | Prescription Records | Pharmaceutical Records / Receipts of controlled substances dispensed. | Clinic Management | Last Entry + 3 | 21 CFR 1304.04 | Shred/Delete | |



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | | |
|----------------------|---|---|
| Department / Agency: | Public Health / Community Health Agency | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: | Clinic Management | Schedule #: |
| Section: | All sections | DRRS_CHA-CM_2011_Rev02 |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head

Susan D. Harrington
 Name: Susan Harrington Title: Director of Public Health Date: 9/28/11

Records Management and Archives Program

Tauna Mallis
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 10/24/11

County Archives

James D. Hofer
 Name: Jim Hofer Title: Archives Manager Date: 24 October 2011

County Auditor-Controller

Gary Poor
 Name: Gary Poor Title: Deputy Auditor-Controller Date: 10/26/11

County Counsel

Tawny Lieu
 Name: Tawny Lieu Title: Deputy County Counsel Date: 10-26-11

County Risk Management

Jim Sessions
 Name: Jim Sessions Title: Risk Manager Date: 10/26/11



County of Riverside, California Departmental Records Retention Schedule (DRRS_PH-CMS_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Community Health Agency, Public Health, Children's Medical Services Division (CHA-CMS) is adopted as per the recommendations of Board Policy A-43 and supersedes the CMS DRRS adopted January 23, 2007 and the Child Health and Disability Prevention Program (CHDP) DRRS adopted February 7, 1995.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by CHA-CMS before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, CHA-CMS will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, CHA-CMS will maintain the requested records until the close of litigation plus an additional ten (10) years. CHA-CMS is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, CHA-CMS is responsible for establishing

appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

BPC = California Business and Professions Code

CCR = California Code of Regulations

CFR = Code of Federal Regulations

CL = Closed, which will also mean after final resolution (as in an inquiry or litigation) after expiration (as in a contract) after final payment, upon completion of participation in a program, etc. A record is considered "closed" when no further action is pending or required.

CY = Calendar year end

FY = Fiscal year end

GC = California Government Code

H&S = California Health and Safety Code

P = Permanent

WIC = California Welfare and Institutions Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Department of Public Health / Community Health Agency

Schedule Type: Departmental Records Retention Schedule

Division: Children's Medical Services

Schedule #: **DRRS_PH-CMS_2011_Rev02**

Section: ALL

| Code | | Title | Record Series | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-------------|------------|--|---------------|--|--------------------------------|---|--|-------------------|
| PH-GCS-0004 | PH-CMS 100 | Autoclave Sterile Control Indicators | | Weekly inspection of autoclave to fulfill OSHA requirements. | Child Health Programs | FY + 3 | H&S 117943; H&S 118215(a)(2)(E) | Shred/Delete |
| PH-GCS-0002 | PH-CMS 150 | California Children's Services Client Chart | | A folder containing client program eligibility paperwork and the supporting documentation including program eligibility forms, proof of residency, notes, correspondence for case management and <i>copies</i> of medical records. | California Children's Services | CL + 3 | WIC 14124.1 | Shred/Delete |
| PH-GCS-0003 | PH-CMS 200 | California Children's Services Medical Therapy Unit Client Chart | | A case folder containing medical records for Medical Therapy Unit clients. Includes notes, consultations and narratives. | California Children's Services | Age 18 + 1, but not less than 7 years from last date of service | BPC 2620.7 | Shred/Delete |
| PH-GCS-0004 | PH-CMS 250 | Child Health Dental Program Referral and Case Management Form | | Referral form provided by local Department of Public Social Services and other agencies to identify families requesting Child Health Dental Program services. Current state form number is PM 357. | Child Health Programs | FY + 3 | 17 CCR 6824(f); 17 CCR 6870; Best Practice | Shred/Delete |
| PH-GCS-0005 | PH-CMS 300 | Confidential Screening / Billing Report | | Health assessment form used by provider for well child checkups. Also used for billing State. Current state form number is PM 160. | Child Health Programs | FY + 3 | 17 CCR 6800; Best Practice | Shred/Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------------------|---|--|-----------------------|--|--|-------------------|
| Code | Title | | | | | |
| PH-GCS-0006 PH-CMS 350 | Dental Program Classroom Participation Files | A file folder containing forms, schedules, and rosters for clinics held in classroom venues. | Child Health Programs | FY + 3 | WIC 14124.1 | Shred/Delete |
| PH-GCS-0007 PH-CMS 400 | Dental Sealant Clinic Records | Record folders containing schedules, rosters, consent forms, and all other materials supporting grant requirements. | Child Health Programs | Age 18 + 1 year, but not less than 7 years from last date of service | 22 CCR 70751; | Shred/Delete |
| PH-GCS-0008 PH-CMS 450 | Lead Case Management File | A file folder containing forms, notes, lab results and correspondence for case management of children having been found to have lead poisoning. | Child Health Programs | Last date of service + 3 | WIC 14124.1 | Shred/Delete |
| PH-GCS-0009 PH-CMS 500 | Medical Therapy Unit Utilization Reviews | Forms used for Utilization Review (UR) standards. Forms are required in the process to certify the medical therapy units as Outpatient Rehabilitation Centers. | Child Health Programs | Date of Review + 3 | WIC 14124.1 | Shred/Delete |
| PH-GCS-0040 PH-CMS 550 | Provider Participation Files | Folder containing provider enrollment form, contracts, notes and all correspondence between parties. | Child Health Programs | P | 17 CCR 6862; Best Practice | Shred/Delete |
| PH-GCS-0044 PH-CMS 600 | Request to Hold or Participate in Health Fair or Open House | Required form to request permission to hold or participate in a community event such as a health fair, open house or other meeting for the purpose of providing community outreach and education mandated by the program's scope of work to meet funding requirements. | Child Health Programs | FY + 3 | Department of Public Health Policy A-103; Best Practice | Shred/Delete |

| | |
|---|---|
| COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE | |
|  | Department / Agency: Public Health / Community Health Agency |
| Division: Children's Medical Services | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Section: ALL | Schedule #: DRRS_PH-CMS_2011_Rev02 |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head
Susan Harrington
 Name: Susan Harrington Title: Director Date: 5/17/11

Records Management and Archives Program
Tauna Mallis
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 6/6/11

County Archives
James D. Hofer
 Name: Jim Hofer Title: Archives Manager Date: 24 October 2011

County Auditor-Controller
Gary Poor
 Name: Gary Poor Title: Deputy Auditor-Controller Date: 10/26/11

County Counsel
Tawny Lieu
 Name: Tawny Lieu Title: Deputy County Counsel Date: 10-26-11

County Risk Management
Jim Sessions
 Name: Jim Sessions Title: Risk Manager Date: 10/26/11



County of Riverside, California Departmental Records Retention Schedule (DRRS_PH-HIV_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Community Health Agency, Public Health Department, HIV / AIDS Division (PH-HIV) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by PH-HIV before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, PH-HIV will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, PH-HIV will maintain the requested records until the close of litigation plus an additional ten (10) years. PH-HIV is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, PH-HIV is responsible for establishing appropriate

procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

CCR = California Code of Regulations



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| Department / Agency: Public Health / Community Health Agency Schedule Type: Departmental Records Retention Schedule | | | | | | |
|--|----------------------------------|--|----------------|---------------------------|----------------------|-------------------|
| Division: HIV / AIDS Schedule #: DRRS_PH-HIV_2011_Rev02 | | | | | | |
| Section: All | | | | | | |
| Code | Title | Record Series Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
| PH-HIV-0003 PH-HIV100 | Patient Medical Records / Charts | Adult HIV patient medical records documenting medical information and treatments at County Public Health Clinics | HIV / AIDS | Date of last entry + 7 | 22 CCR 70751 | Shred/Delete |

| | |
|---|---|
| COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE | |
|  | Public Health / Community Health Agency |
| Department / Agency: | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: HIV / AIDS | Schedule #: |
| Section: All | DRRS_PH-HIV_2011_Rev02 |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head
 Name: Susan Harrington Title: Director Date: 7/5/11

Records Management and Archives Program
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 10/24/11

County Archives
 Name: James D. Hofer Title: Archives Manager Date: 24 October 2011

County Auditor-Controller
 Name: Gary Poor Title: Deputy Auditor-Controller Date: 10/26/11

County Counsel
 Name: Tawny Lieu Title: Deputy County Counsel Date: 10-26-11

County Risk Management
 Name: Jim Sessions Title: Risk Manager Date: 10/26/11



County of Riverside, California Departmental Records Retention Schedule (DRRS_PH-DC-A_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Community Health Agency, Public Health Department, Disease Control Division, Administration (PH-DC-A) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by PH-DC-A before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, PH-DC-A will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, PH-DC-A will maintain the requested records until the close of litigation plus an additional ten (10) years. PH-DC-A is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, PH-DC-A is responsible for establishing appropriate

procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

CFR = Code of Federal Regulations

CY = Calendar year end

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Public Health / Community Health Agency

Division: Disease Control

Section: Administration

Schedule #:

DRRS_PH-DC-A_2011_Rev02

Record Series

| Code | Title | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|--------------|---|--|--|---------------------------|-------------------------------|-------------------|
| PH-DC-A-0001 | Training Materials - Aerosol Transmissible Diseases/Blood Borne Pathogens | Training presentations that identify the most common airborne and blood borne pathogens. | Disease Control Employee File / County Human Resources | CY + 5 | 29 CFR 1910.120 Appendix E #9 | Shred/Delete |





COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | | |
|----------------------|---|---|
| Department / Agency: | Public Health / Community Health Agency | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: | Disease Control | Schedule #: |
| Section: | Administration | DRRS_PH-DC-A_2011_Rev02 |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head

Susan D. Harrington

Director
Title

7/5/11
Date

Records Management and Archives Program

Tauna Mallis

Assistant Assessor-Clerk-Recorder
Title

10/24/11
Date

County Archives

James D. Hofer

Archives Manager
Title

24 October 2011
Date

County Auditor-Controller

Gay Poor

Deputy Auditor-Controller
Title

10/24/11
Date

County Counsel

Tawny Lieu

Deputy County Counsel
Title

10-26-11
Date

County Risk Management

Jim Sessions

Risk Manager
Title

10/26/11
Date



County of Riverside, California Departmental Records Retention Schedule (DRRS_PH-DC-TB_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Community Health Agency, Public Health Department, Disease Control Division, Tuberculosis (PH-DC-TB) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by PH-DC-TB before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, PH-DC-TB will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, PH-DC-TB will maintain the requested records until the close of litigation plus an additional ten (10) years. PH-DC-TB is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, PH-DC-TB is responsible for establishing

appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

CCR = California Code of Regulations

CFR = Code of Federal Regulations

CY = Calendar year end

P = Permanent



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| Department / Agency: Public Health / Community Health Agency | | Schedule Type: Departmental Records Retention Schedule | | | | |
|--|--|--|--------------------------------|---|--|-------------------|
| Division: Disease Control | | Schedule #: | | | | |
| Section: Tuberculosis | | DRRS_PH-DC-TB_2011_Rev02 | | | | |
| Code | Title | Record Series Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
| PH-DC-TB-0004 | Acid-Fast Bacilli (AFB), Slips-Atypical, outside of Riverside County | Results of Acid-Fast Bacilli test on individuals whose primary residence is outside of the County of Riverside. | Disease Control - Tuberculosis | P | 22 CCR 51187; 42 CFR 493.1105; 22 CCR 70751; Best Practice | Dept. |
| PH-DC-TB-0002 | Intakes Class V | Records related to suspected tuberculosis cases. Records series includes medical chart intakes not referred to clinics. | Disease Control - Tuberculosis | Age 18 + 1 or last date of entry + 7, which is longer | 22 CCR 70751 | Shred/Delete |
| PH-DC-TB-0003 | Isoniazid Project Charts | Original project charts where clients did not become clinic patients. Records series includes tuberculosis screening form, chest X-ray report and progress notes | Disease Control - Tuberculosis | Age 18 + 1 or last date of entry + 7, which is longer | 22 CCR 70751 | Shred/Delete |
| PH-DC-TB-0004 | Jail Referrals for tuberculosis follow-up | Records related to inmates that are released and need tuberculosis follow-up. | Disease Control - Tuberculosis | P | 22 CCR 70751; Best Practice | Dept. |
| PH-DC-TB-0005 | Registry Cards for tuberculosis cases with medication | Records related to current cases and those that have been on medication. | Disease Control - Tuberculosis | P | 22 CCR 70751; Best Practice | Dept. |
| PH-DC-TB-300 | | | | | | |

| Record Series | | Title | | Description | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-------------------------------|---|--|--|--------------------------------|---|-----------------------------|---------------------------|----------------------|-------------------|
| Code | Title | Description | | | | | | | |
| PH-DC-TB-0006 PH-DC-TB-350 | School Reports - Tuberculosis skin test reports | Records related to positive test results for students and/or staff. | | Disease Control - Tuberculosis | P | 22 CCR 70751; Best Practice | Dept. | | |
| PH-DC-TB-0007 PH-DC-TB 400 | Positive testing tuberculosis clearance forms | Records related to patients with tuberculosis clearance for positive skin test. | | Disease Control - Tuberculosis | Age 18 + 1 or last date of entry + 7, which is longer | 22 CCR 70751 | Shred/Delete | | |
| PH-DC-TB-0008 PH-DC-TB 450 | Tuberculosis Screening Form | Tuberculosis Program completed screening form where treatment is not recommended. Files are considered closed when either the client responded no to questions or client had no response to questions. | | Disease Control - Tuberculosis | Age 18 + 1 or last date of entry + 7, which is longer | 22 CCR 70751 | Shred/Delete | | |
| PH-DC-TB-0009 PH-DC-TB 500 | Verified Case of Tuberculosis, Report of (VCR), Positive | Center of Disease Control Report of Verified Case of Tuberculosis. Records are to be kept with Disease Control - Tuberculosis Program and re-evaluated in five (5) years. | | Disease Control - Tuberculosis | P | 22 CCR 70751; Best Practice | Dept. | | |
| PH-DC-TB-0010 PH-DC-TB 550 | X-Ray Contracts / Services - Primary and Urgent Care | Records related to Primary Care and Urgent Care X-rays. | | Disease Control - Tuberculosis | Age 18 + 1 or last date of entry + 7, which is longer | 22 CCR 70751 | Shred/Delete | | |
| PH-DC-TB-0011 PH-DC-TB 600 | X-Ray Contracts / Services - Tuberculosis, Early Intervention and Occupational Health | Records related to Tuberculosis and Early Intervention Program X-rays. | | Disease Control - Tuberculosis | P | 22 CCR 70751; Best Practice | Dept. | | |

| | |
|---|--|
| COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE | |
| Department / Agency: Public Health / Community Health Agency | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: Disease Control | Schedule #: DRRS_PH-DC-TB_2011_Rev02 |
| Section: Tuberculosis | |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head
Susan D. Harrington
 Name: Susan Harrington Title: Director Date: 7/5/11

Records Management and Archives Program
Tauna Mallis
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 10/24/11

County Archives
James D. Hofer
 Name: Jim Hofer Title: Archives Manager Date: 24 October 2011

County Auditor-Controller
Gary Poor
 Name: Gary Poor Title: Deputy Auditor-Controller Date: 10/26/11

County Counsel
Tawny Lieu
 Name: Tawny Lieu Title: Deputy County Counsel Date: 10-26-11

County Risk Management
Jim Sessions
 Name: Jim Sessions Title: Risk Manager Date: 10/26/11



County of Riverside, California Departmental Records Retention Schedule (DRRS_EDA-RE_2011_Rev01)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Economic Development Agency, Real Estate Division (EDA-RE) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by Real Estate before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, Real Estate will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, Real Estate will maintain the requested records until the close of litigation plus an additional ten (10) years. Real Estate is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, Real Estate is responsible for

establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

CCP = California Code of Civil Procedure

CEQA = California Environmental Quality Act

CL = Closed, which will also mean after final resolution (as in an inquiry or litigation) after expiration (as in a contract) after final payment, upon completion of participation in a program, etc. A record is considered "closed" when no further action is pending or required.

CFR = Code of Federal Regulations

CR = Creation of the record

CY = Calendar year end

GC = California Government Code

NEPA = National Environmental Policy Act

P = Permanent



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Economic Development Agency Schedule Type: Departmental Records Retention Schedule

Division: Real Estate

Schedule #:

DRRS_EDA-RE_2011_Rev01

Section: All


| Code | | Title | Record Series | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-----------|---------------------------------------|-------|---------------|--|----------------|---------------------------|--|-------------------|
| EDA-RE100 | Appraisals | | | Document regarding a survey of real property by a professional appraiser to determine market value. | Real Estate | CL +10 | Ethics Rule of Uniform Standards of Professional Appraisal Practice (USPAP); Best Practice | Shred / Delete |
| EDA-RE150 | Civil & Geo-Technical Report - copies | | | Geologic and geotechnical engineering documents. | Real Estate | P | Best Practice | Dept. |
| EDA-RE200 | Condemnation Package | | | Records documenting the offer to purchase real property through condemnation proceedings. | Real Estate | CL + 5 | Best Practice | Shred / Delete |
| EDA-RE250 | Environmental Planning | | | Documents regarding environmental regulatory compliance. Records series may include CEQA and NEPA documents and information and final reports. | Real Estate | P | CCP337.15; 40 CFR 141.33; Best Practice | Dept. |
| EDA-RE300 | Form 5 | | | Form submitted to request work be done by Facilities Management personnel. | Real Estate | FY + 7 | GC 26202; Best Practice | Shred / Delete |
| EDA-RE350 | Initiate Project Request | | | Form completed by Facilities Management to track the initiation of work requests. | Real Estate | CL + 4 | GC 26202; Best Practice | Shred / Delete |
| EDA-RE400 | Relocation File & Documents | | | Records documenting the relocation of displacees, including interview forms, eligibility forms, work forms, claims and copies of claims paid. | Real Estate | CL + 7 | 49 CFR 24.9(a); Best Practice | Shred / Delete |
| EDA-RE450 | Relocation Plan-Consultant | | | Records documenting the relocation plan of displacees provided by relocation consultant. | Real Estate | CL + 7 | 49 CFR 24.9(a); Best Practice | Shred / Delete |

| Code | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-----------|----------------------------|--|----------------------------------|---------------------------|--------------------------|-------------------|
| | Title | Description | | | | |
| EDA-RE500 | Soils & Testing Report. | Analysis and final reports for soil testing. | Real Estate | P | CCP337.15; 40 CFR 141.33 | Dept. |
| EDA-RE550 | Title and Escrow Documents | Documentation regarding escrow transactions including, escrow instructions, title policy, preliminary title reports, contracts, and deeds. | Clerk of the Board / Real Estate | P | Best Practice | Dept. |

| | |
|---|--|
| COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE | |
| Department / Agency: Economic Development Agency | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: Real Estate | Schedule #: DRRS_EDA-RE_2011_Rev01 |
| Section: All Sections | |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.


Department Head

 Name: Lisa Brandl
 Title: Managing Director of EDA
 Date: 10/17/11

Records Management and Archives Program

 Name: Tauna Mallis
 Title: Assistant Assessor-Clerk-Recorder
 Date: 11/24/11

County Archives

 Name: Jim Hofer
 Title: Archives Manager
 Date: 24 October 2011

County Auditor-Controller

 Name: Gary Poor
 Title: Deputy ACO
 Date: 10/26/11

County Counsel

 Name: Tawny Lieu
 Title: Deputy County Counsel
 Date: 10-26-11

County Risk Management

 Name: Jim Sessions
 Title: Risk Manager
 Date: 10/26/11



County of Riverside, California Departmental Records Retention Schedule (DRRS_EDA/RDA-PMO_2011_Rev01)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Economic Development Agency / Redevelopment Agency, Project Management Office (Projects) (EDA/RDA-PMO) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by EDA/RDA-PMO before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, EDA/RDA-PMO will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, EDA/RDA-PMO will maintain the requested records until the close of litigation plus an additional ten (10) years. EDA/RDA-PMO is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, EDA/RDA-PMO is responsible for

establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

CY = Calendar year end

GC = California Government Code

CaIRIM = Secretary of State, Local Government Records Management Guidelines

H&S = California Health and Safety Code

CCP = California Code of Civil Procedure


NOC = Notice of Completion, which is the date when NOC is approved by the Board of Supervisors

CFR = Code of Federal Regulations

P = Permanent

CL = Closed, which will also mean after final resolution (as in an inquiry or litigation) after expiration (as in a contract) after final payment, upon completion of participation in a program, etc. A record is considered "closed" when no further action is pending or required.

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

|  | | Department / Agency: Economic Development Agency / Redevelopment Agency | | Schedule Type: Departmental Records Retention Schedule | | |
|---|--|--|---------------------------|--|-----------------------|---------------------------------|
| | | Division: Project Management Office (Projects) | | Schedule #: | | |
| Section: All | | DRRS_EDA/RDA-PMO_2011_Rev01 | | | | |
| Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition | |
| Code | Title | Description | | | | |
| EDA-RDA PMO025 | Building Construction and/or Improvement Records | Records created during the initial planning stages of a construction project. Records series may include architect's site report, planning documents and shop drawings. | Project Management Office | NOC + 10; CL + 10; whichever longer | CCP 337.15 | Robert J. Fitch County Archives |
| EDA-RDA PMO050 | Capital Activities | Records related to the financial activities associated with capital assets. Records series may include Capital Improvement Project Reports (CPR) submitted to the Executive Office | Project Management Office | NOC + 10; CL + 10; whichever longer | CCP 337.15 | Shred/Delete |
| EDA-RDA PMO075 | Certificate of Occupancy | Certificate issued for all completed projects (new construction, tenant improvements, renovations, etc.) that will be occupied by people. | Project Management Office | Life of structure | CalRIM; Best Practice | Shred/Delete |
| EDA-RDA PMO100 | Close-Out & Completion Documents | Documents supporting the completion or close out of the project. Record series may include project closeout form and Notice of Completion. | Project Management Office | P | CalRIM; Best Practice | Dept. |
| EDA-RDA PMO125 | Construction Compliance | Documents issued for all completed projects that will not be occupied by people (unmanned facility). | Project Management Office | Life of structure | CalRIM; Best Practice | Shred/Delete |
| EDA-RDA PMO150 | Construction Documents - 100% | Design plans and specifications used to bid on a project. Includes Plans and Specifications. | Project Management Office | NOC + 10; CL + 10; whichever longer | CCP 337.15 | Shred/Delete |
| EDA-RDA PMO175 | Construction Documents - 50% | 50% of design plans and specifications used to bid on a project. Includes Plans and Specifications. | Project Management Office | Until 100% received | Best Practice | Shred/Delete |

| Code | Title | Record Series | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-------------------|--|---------------|--|---------------------------|------------------------------------|--------------------------|---------------------------------|
| EDA-RDA PMO200 | Construction Documents - As-Builts | | Architect record drawings or "As-built" drawings. These drawings document the finished state of a structure or project. | Project Management Office | Life of structure | H&S 19850; Best Practice | Robert J. Fitch County Archives |
| EDA-RDA PMO225 | Development Agreement | | Written agreement with architects, engineers and others involved in the project. | Project Management Office | P | CalRIM | Dept. |
| EDA-RDA PMO250 | Leaking Underground Storage Tank (LUST) Remediation | | Documents demonstrating the monitoring and removal of toxins from the soil. Records series may include groundwater sampling and monitoring program as well as Phases I, II, III Remediation documents. Project is considered closed once "all clear" report is received. | Project Management Office | P | CalRIM; Best Practice | Dept. |
| EDA-RDA PMO275 | Media & Photos | | Records documenting the progress of a construction project or project issues during inspection. Record series may include photographs taken during the project, PowerPoint presentations, newspaper clippings, etc. | Project Management Office | NOC + 10; CL +10; whichever longer | CCP337.15 | Robert J. Fitch County Archives |
| EDA-RDA PMO300 | Mitigation Measures | | Records related to the inspection and mitigation measures related to the potential presence of asbestos, lead, mold and other hazards. | Project Management Office | P | CalRIM | Dept. |
| EDA-RDA PMO325 | Operations & Maintenance Manuals | | Documents related to the proper use and maintenance of systems and equipment. | Project Management Office | Ownership | Best Practice | Transfer to new owner |
| EDA-RDA PMO350 | Permits - PMO copies | | Permit and inspection reports, from internal inspection staff or outside agencies. | Project Management Office | P | Best Practice | Dept. |
| EDA-RDA PMO375 | Permits / Job Cards | | Permits issued for the planning, construction, signs, grading, encroachments, etc. of a building. May include Building and/or Grading Permits, Inspection Job Card. | Project Management Office | P | CalRIM, Best Practice | Dept. |
| EDA-RDA PMO400 | Planning Reports & Capital Improvement Project Documents | | Documents memorializing the rationale behind acquisitions and capital/site improvements | Project Management Office | NOC + 10; CL +10; whichever longer | Best Practice | Shred/Delete |

| Record Series | | Description | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-------------------|---|---|--|---------------------------|------------------------------------|---|-----------------------|
| Code | Title | Description | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
| EDA-RDA PMO425 | Project File - Construction Management | Records demonstrating compliance with National and California construction project laws and best practice. Records series may include air & water balance reports, land acquisition, change orders, project schedules, construction change directives, deficiency notices, design development, information technology records, inspection reports, contractor lists, meeting minutes, punch lists, stop notices, systems furniture designs, training certificates, invoices, bidding documents, cost estimates, proposals, request for qualifications, contract documents, work orders, correspondence, certified payroll, and purchase orders. | | Project Management Office | NOC + 10; CL +10; whichever longer | CCP 337.15 | Shred/Delete |
| EDA-RDA PMO450 | Soils / Testing Reports | Analysis and final reports for soil testing. | | Project Management Office | P | CalRIM | Dept. |
| EDA-RDA PMO475 | Project File - Environmental Planning | Records demonstrating compliance with National and California environmental protection laws. Records series may include soil reports, biological resource reports, cultural resources reports, air quality impact studies, traffic impact studies, Environmental Assessment blanket report, lab results and other technical data. | | Project Management Office | NOC + 10; CL +10; whichever longer | CCP337.15; 40 CFR 141.33 | Shred/Delete |
| EDA-RDA PMO500 | Project File - Environmental Planning (NPDES) | Special section of the Clean Water Act: Post-construction mitigation measures that help reduce the impacts of urban runoff. Records series may include Water Quality Management Plans (WQMPs) and associated Best Management Practice (BMP) handbooks. | | Project Management Office | P | CCP337.15; 40 CFR 141.33; 40 CFR 141.91; Best Practice | Dept. |
| EDA-RDA PMO525 | Warranties | Records related to system, equipment and building warranties or guarantees associated with a construction project. | | Project Management Office | Ownership | Best Practice | Transfer to new owner |



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | | |
|----------------------|--|---|
| Department / Agency: | Economic Development Agency / Redevelopment Agency | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: | Project Management Office (Projects) | Schedule #: |
| Section: | All | DRRS_EDA/RDA-PMO_2011_Rev01 |

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head
Lisa Brandl
 Name: Lisa Brandl Title: Managing Director of EDA Date: 10/19/11

Records Management and Archives Program
Tauna S. Mallis
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 10/24/11

County Archives
James D. Hofer
 Name: Jim Hofer Title: Archives Manager Date: 24 October 2011

County Auditor-Controller
Gary M. Poor
 Name: Gary M. Poor Title: Deputy Auditor-Controller Date: 10/26/11

County Counsel
Tawny Lieu
 Name: Tawny Lieu Title: Deputy County Counsel Date: 10-26-11

County Risk Management
Jim Sessions
 Name: Jim Sessions Title: Risk Manager Date: 10/26/11