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

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

**SUBMITTAL DATE:**  
January 10, 2012

**SUBJECT:** Approval of three 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 (DRRS) for the Recorder, CHA's Industrial Hygiene division and County Human Resources, and the new DRRS for the TLMA's Transportation Department and the Department of Public Social Services 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  
Assessor-County Clerk-Recorder

<b>FINANCIAL DATA</b>	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

<b>SOURCE OF FUNDS: NA</b>	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

**County Executive Office Signature**

FORM APPROVED COUNTY COUNSEL  
BY:   
TAWNY V. UEU  
DATE: 12/27/2011  
Departmental Concurrence

Dep't Recomm.:  Consent  Policy

Per Exec. Ofc.:  Consent  Policy

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

ATTACHMENTS FILED  
WITH THE CLERK OF THE BOARD

3.10

**Record Retention Schedules  
Listed by Department  
January 10, 2012**

**REVISED SCHEDULES**

**Assessor-County Clerk-Recorder  
Recorder**

All sections (Attachment A)  
*Supersedes scheduled adopted January 23, 2007 Agenda # 3.5*

**Community Health Agency  
Public Health**

Industrial Hygiene (Attachment B)  
*Supersedes schedule adopted January 23, 2007 Agenda # 3.5*

**County Human Resources**

All sections (Attachment C)  
*Superseded schedule adopted December 16, 2008 Agenda # 3.12*

**NEW SCHEDULES**

**Traffic and Land Management Agency  
Transportation**

All sections (Attachment D)

**Department of Public Social Services**

All sections (Attachment E)



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_ACR-R\_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 Assessor-County Clerk-Recorder, Recorder (ACR-R) 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 the Recorder 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. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a claim or a lawsuit is made against the county of Riverside, the Recorder will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Recorder is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Recorder will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

**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

**CalRIM** = Secretary of State, Local Government Records Retention Guidelines

**FC** = California Family Code

**GC** = California Government Code

**CC** = California Civil Code

**H&S** = California Health & Safety Code

**CCP** = California Code of Civil Procedure

**R & T** = California Revenue & Tax Code

**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.

**P** = Permanent



## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Assessor-County Clerk-Recorder (ACR)

Schedule Type: Departmental Records Retention Schedule

Division: Recorder

Schedule #:

Section: All

### DRRS\_ACR-R\_2011\_Rev02

Code		Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
<b>Administration</b>							
ACR-R-0010	Archive Writer Audit Sheet	Form used for each roll during the quality control process to document findings.	Recorder	P	Best Practice	Dept.	
ACR-R-0020	Attorney Service Drop Off Sheets	Customer forms completed when dropping off documents to be recorded. Form contains information such as customer name, special recording instruction and amount and type of documents.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete	
ACR-R-0030	Audit of Master Microfilm Storage Facility	Annual audit of master microfilm and storage facility conditions including temperature readings and oxidation inspections. Audits performed on the same samples to establish benchmarks.	Recorder	P	Best Practice	Dept.	
ACR-R-0040	Customer Comment Cards	Forms completed by customer's of the Assessor-Clerk-Recorder's office where customers comment on the services provided to them. Customers rate customer service and provide suggestions for improvement of the services provided by the Assessor-Clerk-Recorder.	Assessor - County Clerk - Recorder	CY + 3	Best Practices; Dept. Policy	Shred/Delete	
ACR-R-0050	Documents Undeliverable by Mail and Uncalled for	Original documents left with and recorded by the County Recorder which are undeliverable by mail and uncalled for.	Recorder	P	GC26205.6; Best Practice	Shred/Delete	
ACR-R-0060	Map Checklists	Quality control checklists of items that a map must contain in order to be recorded. Used to review evidence of decision made in the recording process.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete	

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R 0070	Marriage Correspondence	Correspondence to couple and/or to person solemnizing marriage notifying them of errors in license that prevents it from being recorded and what action must be taken to correct it. Letters include the names of couple, license number and reason for the letter.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0080	Methylene Blue Tests	Results of outside testing certifying that film processing results with respect to fixer functions fall within the standards dictated by ANSI IT9.17-1993. Certificates record the range of methylene blue present on the film, the date the film was processed and the film roll from which it came.	Recorder	P	Best Practice	Dept.
ACR-R 0090	Preliminary New Match List	Records documenting the date, legal description and preliminary number filed in the Recorder's Office. Provides Indexing section with a list of people who have filed Preliminary 20-day notices informing them of who they need to contact in compliance with CC 3259.5.	Recorder	Filing date + 3	CC 3097	Shred/Delete
ACR-R 0100	Reports	Administrative reports detailing information such as the number of documents recorded, fee breakdown, mail status, etc. Updated and printed daily. Used for internal quality control and reference.	Recorder	P	Dept. Policy	Dept.
ACR-R- 0053- ACR-R 0110	Studies and Statistics	Record of departments activities and accomplishments. They may include statistics, narrative reports, graphs and diagrams.	Assessor - County Clerk - Recorder	CY + 3	CalRIM; Best Practice	Shred/Delete
ACR-R 0120	Target Sheets	Record of fees for cashiering when recording a Record of Survey or Assessment Diagram.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
<b>Applications</b>						
ACR-R 0130	Affidavit for Duplicate Marriage License	Issued when a license is not recordable due to whiteouts, stains, crossed out information, and other alterations, or when informed that the original license was lost. An affidavit must be signed and returned before a duplicate marriage license can be issued.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0140	Application for a Certified Copy of a Military Discharge (DD214)	Applications for a certified copy of recorded military discharge.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R- 0004- ACR-R 0150	Application for Copy of Official Records	A request for copies of official records. Includes: document numbers requested, customer's name and address.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R- 0005- ACR-R 0160	Application for a Search or Certified Copy of a Birth Certificate	A request for a search or a certified copy of a birth certificate on file in the Riverside County Recorder's office. Includes: name and address of requestor, name on certificate and date of event.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R- 0006- ACR-R 0170	Application for Certified Copy or Search of a Death Record	A request for a search or a certified copy of a death certificate on file in the Riverside County Recorder's office. Includes: name and address of requestor, name on certificate and date of event.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R- 0007- ACR-R 0180	Application for Certified Copy or Search of a Marriage Record	A request for a search or a certified copy of a marriage certificate on file in the Riverside County Recorder's office. Includes: name and address of requestor, name on certificate and date of event.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
<b>Filed Documents</b>						
AGR-R-0024	Delinquent Tax List	Copy of publication and affidavit filed by the tax collector. Affidavit is published to show that the real property on which taxes, assessments, penalties and costs had not been fully paid are in default, together with a list of all that real property.	Recorder	Filing date + 7	R&T 3371-3374	Shred/Delete
AGR-R-0044	Plans, Contracts & Specifications	Plans, contracts and specifications under which the work or improvement of any building was performed.	Recorder	Filing date + 5, unless notified in writing to retain them by someone claiming some interest under the contract or in the property affected	GC27205; CC 3258	Shred/Delete
AGR-R-0047	Preliminary 20-Day Notice	A written notice from a claimant that is given prior to the recording of a mechanic's lien, prior to filing a stop notice and prior to asserting a claim against a payment bond. Includes: general description of labor, name and address of the person furnishing that labor, name of the person who contracted for purchase of that labor and the description of the job site.	Recorder	Filing date + 3	CC 3097	Shred/Delete
AGR-R-0210						
<b>Logs</b>						
AGR-R-0003	Amendment Logs	Working files on incoming birth, death and marriage amendments. Includes: date and book and page number.	Recorder	Superseded + 2	GC 26202; Best Practice	Shred/Delete
AGR-R-0220	Archive Writer Microfilm Log	Form detailing when, who, the recording date and contents of each roll created from the Archive Writer.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete



Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R 0240	Bank Note Paper Logs	Logs tracking the storage and use of bank note paper on which are printed birth, death and marriage certificates.	Recorder	Last entry + 100	Best Practice	Shred/Delete
ACR-R 0250	Control Strip Logs	Logs recording the results of daily processor testing performed on exposure control strips prior to starting work. Services as a baseline and to verify the processor is functioning at the proper levels ensuring the density and quality of film remains consistent. Used in technical and operational troubleshooting.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0260	Equipment Logs	Logs maintained to document what has been duplicated or processed on a specific piece of equipment. Used to troubleshoot issues, spot-check employee performance and notify operator of the need to replenish chemicals necessary to maintain the integrity of the images produced.	Recorder	Last entry + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0270	Map Logs	Shreadsheets completed by 1) the customer dropping off a map and 2) Recorder staff ensuring that each map is recorded in the correct order. Logs are updated with every recordation.	Recorder	Last entry + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R- 0032- ACR-R 0280	Map Log Books	Log of recorded official maps. Separated in books by type of map - tract, parcel, assessment, record of survey and condominium plan (1947 to present). Includes: map book and page number, name of the city or unincorporated area the property on the map is located in, the document number assigned to the map once recorded, the name of who submitted the map for recording, the fees for recording the map and the time the map was recorded.	Recorder	P	Best Practices, Dept. Policy	Dept.
ACR-R 0290	Metadata Logs	Captures and records metadata information for each electronic image produced and submitted to the Recorder's image database. Metadata is not embedded in the images produced.	Recorder	P	Best Practice	Dept.

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
AGR-R-0048-ACR-R 0300	Production/ Assignment Logs	Record of an employee's work rate and assigned duties. May include standards to be met and success rate.	Assessor - County Clerk - Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
<b>Recorded Documents</b>						
AGR-R-0004-ACR-R 0310	Abstract of Mortgage	Records of mortgages (1893-1897), includes indexes, names of borrowers and lenders, dates of documents and description of property. Arranged chronologically (handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
AGR-R-0002-ACR-R 0320	Abstract of Sales Made State to State	An abridgement as an abbreviated form or a summary of sales made state to state (handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
AGR-R-0008-ACR-R 0330	Assignments of Mortgages	Recorded transfers of real property encumbrances from old to new holders (1893-1930). Includes: index, date of assignment, names of assignor and assignee, location and description of property and date of recording combined with mortgages then recorded in official records after 1930. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
AGR-R-0009-ACR-R 0340	Bank Assets	Statements of banks financial condition (1893-1894). Includes: index, names of banks, sworn statements of financial condition. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
AGR-R-0010-ACR-R 0350	Bank Stocks	Statement of the paid up capitol stock of banks (1893-1894). Includes: index, names of banks, date of statement. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
AGR-R-0012-ACR-R 0360	Candidates, Receipts and Expenditures	Candidates affidavit of receipts and expenditures for primary election (1926-1932). (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R-0013-0370	Certificate of Sales	Records of sales by Sheriff on foreclosures (1893-1930). Includes: index, name of property owner, value, date of tax due, date of sale and property description. Arranged chronologically.	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0014-0380	Certificates of Residence	Index includes name, residence, place where summons may be served and date (1893-1930). Arranged alphabetically by name. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0015-0390	Certificates of Revivor	Index to records showing the revival of a suit which is abated by the death or marriage of any of the parties. Also know as a bill of revivor. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0016-0400	Chattel Mortgages	Records of loans secured by personal property (1893-1930). Includes: index, borrower's and lender's names, date of loan, amount of loan, description of property. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0017-0410	City Charters	A legal document establishing a city. Charters are adopted by cities where special conditions create needs that can't be adequately met by the general laws. A city can adopt a charter and tailor it's organization and elective offices to provide for unique local conditions and needs. A charter can only be adopted and/or changed by a majority vote of city residents-not by a vote of the city council. (July, 1999 - Current). The Secretary of State holds the official record.	Recorder	P	GC34460; Best Practices	Dept.
ACR-R-0018-0420	Co Partnerships	Agreements of Co-Partnership (1893-1930). Includes: index, agreements, names of partners, firm and date of record. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0021-0430	Declarations of Homestead	Records of persons claiming homesteads (1893-1930). Includes: indexes, names of homesteaders, descriptions of property. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R-0022-ACR-R-0440	Decrees of Distribution	Record of probate court for the distribution of the estates of deceased persons (1893-1930). Includes: index, names of decedent, administrator, distributees and description of estate. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0023-ACR-R-0450	Deeds	Records transferring title to real property (1893-1930). Includes: indexes, nature and terms of document, description and location of property, names of grantor and grantee. Recorded in official records after 1930.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0026-ACR-R-0460	Federal Tax Liens	Index to tax liens (1923-1967). Includes: index, file number, name of taxpayer, address, amount due, date of notice and demand.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0027-ACR-R-0470	General Index	Index (1893-Current) to official records and to separate volumes of instruments that exist prior to the consolidation of the Recorder's documents into the official records in 1930. Includes: Recorder's number, title of instrument, names of grantee and grantor, reference to volume and page numbers in official records and date recorded. Combined general indexes, grantors-grantees after 1975. Grantee-a person who acquires an interest in land by deed, grant or other written instrument, commonly referred to as the buyer. Grantor-one who grants property or property rights, commonly referred to as the seller.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0028-ACR-R-0480	Leases	Leases of real property (1893-1930). Includes: index, date and number of document, names of lessor and lessee, date of recording, and reference to volume and page number in records. Supplanted by general indexes in 1931.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0029-ACR-R-0490	Licensed Surveyors	Register of civil engineers and surveyors. Includes: index, names, date issued, town and license number. Arranged alphabetically by name. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R-0030-ACR-R 0500	Lis Pendens	Evidence a pending court action concerning or affecting the title or the right of possession of real property. Includes: names of plaintiff(s) and defendant(s) as grantor and grantee, date of notice, purpose of action, location and description of property, date recorded, signature of attorney for plaintiff, case number, name of court or certified by a judge or clerk of the court. Also known as Notice of Pendency of Action.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0034-ACR-R 0510	Mechanics Liens	Records of transcripts of mechanics' and contractors' claims filed as statutory liens on property to secure payment of debt for material or labor used thereon (1893-1930). Includes: index, name of plaintiff, name of defendant, statement of claimant's demand (dollar amount), statement of labor, recording date and time, book and page numbers. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0035-ACR-R 0520	Military Discharge	Recorded copies of honorable discharges from the United States Armed Forces. May include: name of soldier, serial number, grade, branch of service, organization, date and place of birth, race, marital status, and civilian occupation. Information on military history may include: date of induction/enlistment, date entered into active service, place entered service, selective service date, military occupation, military qualification and date, battle campaigns, decorations and citations, wounds, immunization record, service outside United States, prior service, reason for separation, service schools attended, education pay date, insurance information, signature of soldier, signature of personnel officer and thumbprint.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0036-ACR-R 0530	Mining Claims	Handwritten locations of Cinnabar, Quartz, Magnesite, and other mining claims (1896-1930). Includes: index, date of claim. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.


Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R-0037-0540	Miscellaneous Records	Various documents not required by law to be kept in separate volumes (1893-1930). Includes: handwritten index, names of parties and documents such as: declaration of trust, military discharges, enlistment records, bills of sale, wine certificates, candidates statements, affidavits, agreements, completions and decrees. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0038-0550	Mortgages	Records by which real property is pledged as security of the repayment of an obligation (1893-1930). Includes: names of mortgagor and mortgagee, date, amount, and terms of mortgage, date recorded, location and description of property and signature of mortgagor. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0039-0560	Notices of Attachments	Records of notices of a party being served with a writ of attachment of specific property being attached and held as security in the event a judgment is rendered (1893-1930). Includes: date of notice, names of plaintiff and defendant, amount and reason of attachment, location and description of real property. Recorded in official records after 1930. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0040-0570	Official Bonds	Surety bonds posted by public officials. Includes: index, name of official position, sum of bond and date of bond. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0041-0580	Official Maps	Maps which show subdivision or boundaries in Riverside County. Includes: index, parcel, tract, record of survey annexations, assessments, highway and agricultural maps. Shows boundaries, owners, easements and divisions. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0042-0590	Official Records	Recorded instruments previously kept in separate volumes, but combined since 1931. Includes: deeds, mortgages, liens, and other documents dealing with real property. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R-0043-ACR-R 0600	Patents (Land Patents)	Recorded land grants authorized by Federal and State Land Office, granting transfer of title of real property (1893-1930). Includes: handwritten index, name of grantee, location and description of land, amount of fees due, date recorded, proof of claim, and map of property. Arranged chronologically. Also known as Land Patents.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0045-ACR-R 0610	Power of Attorneys	Recorded copy of authority given to individuals to be Attorney in Fact (1893-1930). Includes: index, name of parties, date and description of powers. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0046-ACR-R 0620	Pre Emptions	Records of rights given to settlers upon the public lands of the United States to purchase lands at a limited price in preference to others. Includes: index, modernly equivalent to a first refusal of right.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0050-ACR-R 0630	Separate Property of Married Women	Recorded declarations of married women of separate ownership of property. Includes: index, description of property and livestock. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0051-ACR-R 0640	Sole Traders	Records of married women that engage in business on their own account. Includes: index, name of applicant, type of business, name of court. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0052-ACR-R 0650	Stray and Lost Property	Records contain descriptions of lost animals with notices to come forward and claim. Includes: description of property, value, brand and ear mark, date found, etc. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R 0660	Sub Guarantees	Statements signed and acknowledged by all parties having any record title interest in the real property consenting to the preparation and recordation of a parcel map. The document is required to be submitted with parcel and tract maps.	Recorder	P	Best Practice	Dept.

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-R-0054-ACR-R-0670	Tax Deeds	Records of deeds issued to a purchaser following a sale necessitated by the non payment of real property taxes. Includes: index, tax year, amount of tax, property owner, description and amended tax deed. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0055-ACR-R-0680	Tax Sales	Records of property sold to the State of California for non payment of State and County taxes. Includes: tax year, description of property. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0056-ACR-R-0690	Torrens	A system of title recordation provided by provincial law, it is a system for the registration of land title, indicating the State of the title, including ownership and encumbrances. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0057-ACR-R-0700	Transcripts of Judgments	Recorded transcripts of civil judgments from district, county, or superior court in cases involving property (1893-1930). Includes: index, date, nature, amount of judgment, case number, name of court, names of plaintiff and defendant, location and description of property, name of judge and date recorded. Recorded in official records after 1930. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0058-ACR-R-0710	Uniform Commercial Code Financing Statements	Original papers recording liens on personal property under the Uniform Commercial Code. These replaced chattel mortgages. Includes: index, file number, debtor's name and address, secured party, filing date, time, number and officer, types of property covered, signature of party and signature of clerk.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0059-ACR-R-0720	Water Claims	Records of rights to the use and/or control of water, whether for irrigation, hydro electric power, or personal use. Includes index.	Recorder	P	GC27320-27336; GC 26205.5	Dept.



Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
AGR-R-0060 ACR-R 0730	Wills	Recorded wills of deceased persons (1893-1955). Includes: index, names of testator and beneficiaries, date and number of will, nature and amount of bequests, date admitted to probate court, name of executor, date recorded, and signature of testator.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
<b>Vital Records</b>						
AGR-R-0044 ACR-R 0740	Births	Register of all births occurring in Riverside County from 1893 to the present time. Includes: indexes, birth certificates, handwritten entries of births, delayed birth certificates, amendments, names of children, date of event and sex of child. Recording of vital statistics became a state function in 1905. Forms change over time. Arranged chronologically.	Recorder (1893 to 1905) California State Department of Health (1906 to Current)	P	GC27320-27336; GC 26205.5; H&S 102235	Dept.
AGR-R-0020 ACR-R 0750	Deaths	Register of all deaths occurring in Riverside County from 1893 to the present time. Includes: indexes, death certificates, delayed death certificates, amendments, name of decedent, date of death. Arranged chronologically.	Recorder (1893 to 1905) California State Department of Health (1906 to Current)	P	GC27320-27336; GC 26205.5; H&S102235	Dept.
ACR-R 0760	Expired Marriage License	Correspondence mailed to the applicants informing them of their license expiration date and to contact the County Clerk Office in the county of residence for a Declared Marriage License.	Recorder	CY + 3	GC 26202; CCP 338; FC 357-360; Best Practice	Shred/Delete
ACR-R-0033 ACR-R 0770	Marriages	Register of all marriages where the license was issued in Riverside County from 1893-Current. Includes: index, certificate of marriage, amendments, name of bride and groom, and date. Arranged chronologically by date of marriage.	Recorder	P	GC27320-27336, 26205.5, H&S102235	Dept.

<b>COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE</b>	
	Assessor-County Clerk-Recorder (ACR)
Department / Agency:	Assessor-County Clerk-Recorder (ACR)
Division:	Recorder
Section:	ALL
Schedule Type: Departmental Records Retention Schedule (DRRS)	
Schedule #:	DRRS_ACR-R_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: Larry Ward      Title: Assessor-County Clerk-Recorder      Date: 10-17-2011


**Records Management and Archives Program**

  
 Name: Tauna Mallis      Title: Assistant Assessor-Clerk-Recorder      Date: 12-21-11


**County Archives**

  
 Name: Jim Hofer      Title: Archives Manager      Date: 21 Dec. 2014


**County Auditor-Controller**

  
 Name: Gary Poor      Title: Deputy Auditor-Controller      Date: 12/22/11

**County Counsel**

  
 Name: Tawny Lieu      Title: Deputy County Counsel      Date: 12/27/2011

**County Risk Management**

  
 Name: Jim Sessions      Title: Risk Manager      Date: 12-22-11



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_PH-IH\_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, Special Services Division, Office of Industrial Hygiene (PH-IH) 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 Industrial Hygiene 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. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a claim or a lawsuit is made against the county of Riverside, Industrial Hygiene will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Industrial Hygiene is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, Industrial Hygiene will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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## 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.

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## Explanation of Codes

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

**FY** = Fiscal year end

**GC** = California Government Code

**CCR** = California Code of Regulations

**HSC** = California Health and Safety Code

**CFR** = Code of Federal Regulations

**T** = Termination (of use)

**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: Public Health / Community Health Agency

Schedule Type: Departmental Records Retention Schedule

Division: Special Services Division

Schedule #:

Section: Office of Industrial Hygiene

**DRRS\_PH-IH\_2011\_Rev02**

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
PH-SSD-0004-PH-IH 100	Asbestos Surveys	Survey reports documenting the presence and location of asbestos containing materials in residential, public and commercial buildings.	Industrial Hygiene	FY + 3		South Coast Air Quality Management (SCAQM) Rule 1403 (g)	Shred / Delete
PH-SSD-0002-PH-IH 150	Detention Facility Inspections	Records supporting combined inspections with other departments regarding health and welfare in detention facilities.	Industrial Hygiene	FY + 3		HSC 101045; GC 26202; Best Practice	Shred / Delete
PH-SSD-0003-PH-IH 200	Dosimeter Badge Testing	Records related to testing of dosimeter badges including medical surveillance records and quarterly occupational radiation assessment reports.	Industrial Hygiene	T + 30		8 CCR 3204(d)(1)(A) (B) and 3204(c)(5); 29 CFR 1910.1020(d)(i) and 1910.1030(h)	Shred / Delete
PH-SSD-0004-PH-IH 250	General Projects	General Industrial Hygiene projects including those for County, City or Business. Records series includes business plans, storm water plan, indoor air quality assessments and testing for mold. Series also includes acoustical reviews (noise studies) for housing developments and other studies in the community.	Industrial Hygiene	FY + 3		GC 26202; Best Practice	Shred / Delete

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
PH-SSD-0005-PH-IH-300	Lead Hazard Assessments		Lead Hazard Assessments for County, City or Business. Records series may include lab tests, maps and photos of buildings.	Industrial Hygiene	FY + 3	17 CCR 36000(b)	Shred / Delete	
PH-SSD-0006-PH-IH-350	Lead Poisoning Investigations		Records maintained as part of the Childhood Lead Poisoning Prevention Program (CLPPP). Records generated in response to a referral based upon high blood lead level source at the home.	Industrial Hygiene	FY + 3	17 CCR 36000(b)	Shred / Delete	



# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Public Health / Community Health Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	Special Services Division	Schedule #:
Section:	Office of Industrial Hygiene	DRRS_PH-IH_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 D. Harrington

Director  
Title

*9/7/11*  
Date

### Records Management and Archives Program

*Tauna J. Mallis*  
Name: Tauna Mallis

Assistant Assessor-Clerk-Recorder  
Title

*12-21-11*  
Date

### County Archives

*Jim Hofer*  
Name: Jim Hofer

Archives Manager  
Title

*21 Dec. 2011*  
Date

### County Auditor-Controller

*Gary Poor*  
Name: Gary Poor

Deputy Auditor-Controller  
Title

*12/22/11*  
Date

### County Counsel

*Tawny Lieu*  
Name: Tawny Lieu

Deputy County Counsel  
Title

*12/27/2011*  
Date

### County Risk Management

*Jim Sessions*  
Name: Jim Sessions

Risk Manager  
Title

*12/22/11*  
Date



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_CHR\_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 County Human Resources (CHR) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted December 16, 2008.

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 CHR 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. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a claim or a lawsuit is made against the county of Riverside, CHR will suspend destruction of the subject records until all issues of the matter are resolved. Further, if CHR is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, CHR will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

County Human Resources will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. CHR is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, CHR 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.



**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.

**BP** = California Business and Professions Code

**CCP** = California Code of Civil Procedure

**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.

**CR** = Creation (of the record) date

**CU** = Current

**CY** = Calendar year end

**EPPA** = Employee Polygraph Protection Act (1988)

**ERISA** = Employee Retirement Income Security Act (1974)

**FY** = Fiscal year end

**GC** = California Government Code

**OSHA** = Occupational Safety and Health Administration

**P** = Permanent


**PC** = California Penal Code

**REV** = (Until) Revised or superseded

**T** = Termination (of employment, of use, i.e. of a product or piece of equipment, of a benefit or plan)

**USC** = United States Code

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

		Department / Agency: <b>County Human Resources (CHR)</b>		Schedule Type: <b>Departmental Records Retention Schedule (DRRS)</b>	
		Division: <b>All Divisions</b>		Schedule #: <b>DRRS_CHR_2011_REV02</b>	
		Section: <b>All Sections</b>			
Record Series					
Code	Title	Description	Official Record Retention	Citation / Rationale	Final Disposition
<b>Benefits (BEN)</b>					
CHR-BEN100	Actuarial Records	Records documenting the Actuarial Analysis of a specific Program. Records may include any documents, spreadsheets, financial, or loss data that is provided for the preparation of an actuarial report for any Health and Welfare Plan, Risk Management or Workers' Compensation Program.	T + 4	Best Practice	Shred / Delete
CHR-BEN150	Benefit Plan Descriptions & Policies	Records documenting the Health, Welfare and Pension plans offered by the County of Riverside. Includes information pertaining to employee benefit plans such as medical, vision, dental, pension, life insurance, short-term disability, long-term disability, and life insurance as well as copies of any seniority systems and merit systems that are in writing.	T + 4	29 CFR 1627.3(b)(2); Best Practice	Shred / Delete
CHR-BEN200	Benefit Plan Summaries	Records documenting the Health, Welfare and Pension Plans offered by the County of Riverside. Includes Summary Plan Documents (SPD) and Summaries of Material Modifications (SMM). Plan documents cover cafeteria plans, life insurance, short term and long term disability plans, dependent care assistance program (DCAP) plans, qualified transportation plans, educational assistance program documents, and records showing fiduciary responsibility.	P	ERISA 107 and 209 as best practice	County Archives
CHR-BEN250	Benefit Tracking	Records pertaining to employees selection of life, disability, health, and other types of insurance offered by the County of Riverside. May include confirmation of election, monthly statements, correspondence (to employee, beneficiaries or others), notices, and responses to service provider inquiries.	CL + 6	ERISA 107 and 209 as best practice	Shred / Delete

Record Series		Description	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title				
CHR-BEN300	Claim Records	Documentation used in the payment of employee health and death benefit claims, or payment to non-employees under liability policies. May include administrative processes, appeal forms, authorization forms, benefit approval and payment records, claim documents filed by plan participants or beneficiaries, claim procedures, death claims, denial review forms, documentation regarding decision periods, extension notices, forms used by the plan in claims processing, payment requests, plan explanations, protocols and urgent care claims.	CL + 8	ERISA 107 and 209 as best practice	Shred / Delete
CHR-BEN350	Deferred Compensation - Nationwide / AIG Retirement	Records pertaining to deferred compensation plans including the 457 Plan. Includes enrollments, contribution and investment changes and distribution requests.	CL + 10	Best Practice	Shred / Delete
CHR-BEN400	Disability & Industrial Disability Retirement	Records related to the Disability & Industrial Disability Retirement Program. Includes the application for an industrial disability retirement by County of Riverside safety members, medical examination report, correspondence, privileged documents between the Return to Work Human Resources Services Manager and the Defense Counsel and signed authorization of employee/participant for a release of information in the industrial disability retirement investigative process.	CR + 100	Best Practice	Shred / Delete
CHR-BEN450	Enrollment, Election & Eligibility	Records documenting the Health, Welfare and Pension Plans offered by the County of Riverside. Includes documents showing coverage; premium; beneficiary designations and communications with insurers and lists. May also include documentation to substantiate eligibility (including records documenting Qualified Medical Child Support Orders and National Medical Support Notices), eligible classes of employees and conditions, salary reduction elections and election changes, and termination of eligibility for cause.	CL + 8	ERISA 107 and 209 as best practice	Shred / Delete
CHR-BEN500	Exclusive Care - Administration	Records related to the administration of the Exclusive Care Program. May include accounting records, appeals, audits, complaints, correspondence, medical and hospital claims, minutes from physicians review meetings, phone logs, provider credentialing minutes.	CL + 6	45 CFR 164.530(j)	Shred / Delete

Record Series		Final Disposition
Code	Title	Description
CHR-BEN550	Exclusive Care - Contracts and Agreements	Records related to the administration of contracts and agreements pertaining to the Exclusive Care Program. Include agreements with non-contracted providers, contracts, correspondence, exclusive provider organization exhibit and provider profile, medical contractor agreement, plan documents, provider credentialing, supporting spreadsheets and worksheets.
CHR-BEN600	Flexible Spending Account (FSA) - County Administered Plan	Records documenting the administration of the Flexible Spending Account. Includes claim forms, deduction registers, demographic reports, denials, deposit reconciliations, election reports, explanation of benefits and FSA plan descriptions.
CHR-BEN650	Health Insurance Portability and Accountability Act (HIPAA) Compliance	Records documenting the privacy administration of the Health, Welfare and Pension Plans offered by the County of Riverside. May include complaint logs or notices, evidence of creditable coverage, individual preexisting condition exclusions, individual requests for additional privacy protections, individual requests to inspect and copy records under the privacy rule, request to amend or correct personal health information, requests for accounting disclosures and requests for alternative communications.
CHR-BEN700	Premium Payments	Records documenting payments made to benefit plans offered by the County of Riverside. Records series may include calculations and other data prepared by an enrolled actuary and documents necessary to support or to validate premium payments.
CHR-BEN750	Privacy or Security Breaches	Records documenting privacy or security breaches of benefit plans offered by the County of Riverside. Records may include documents concerning complaints received and their disposition, complying with security rule standards and implementation specifications, harmful effects resulting from improper use or discloser of personal health information and security rules or procedures.

Record Series		Description	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title				
CHR-BEN800	Retirement Benefits - County Administered Plan	Records documenting County administered retirement benefits including records related to employee pension and insurance plans, which should be kept for the full period that the plan or system is in effect or any period in which benefits may be due or become due under the plan. May include enrollment cards, summaries of contributions and deductions, personal data forms, beneficiary information and authorizations.	CR + 100	29 CFR 1627.3(b)(2); ERISA 107 and 209 and best practice	Shred / Delete
CHR-BEN850	Waiver records	Records documenting an employee's decision to decline offered benefits. Records will show name, social security number, employment section or division, date and signature.	T + 2	GC 26202; Best Practice	Shred / Delete
<b>Compensation (COM)</b>					
CHR-COM100	Classification and Appointments	Records detailing the process of systematically determining the relative value of County positions. Includes development and analysis of job descriptions and classification specifications including salary survey data. May also include annual guidelines, pay plans, relevant correspondence, and documents relating to wage and salary rates that are used for payroll comparison purposes and to demonstrate compliance with the federal Equal Pay Act.	FY + 3	29 CFR 516.6(a)(2); 29 CFR 1602.32	Shred / Delete
CHR-COM150	Compensation	Records detailing the process of determining compensation for time away from work. Includes authorization for compensating time off and for extra hours/overtime, employee leave accrual and usage records where compensation was paid, record of hours worked and of wages paid, records of additions to or deductions from wages work/shift schedules, reports required by the Secretary of Labor, unemployment compensation contributions, wage rate tables, and withholding and deduction documentation. May also include documents concerning overpayments and payroll reimbursements.	FY + 7	29 USC 211(c); Best Practice	Shred / Delete

Record Series			Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
CHR-COM200	Occupational Group Study and Related Records	Records related to the development and analysis of job families within the County's classification plan. Records may include copies of approved and/or draft Form 11 requests, classification specifications, correspondence, difficult to recruit forms, meeting notes, position description questionnaires, parity study reports, Resolution 440 amendments, and study status logs. Records may also include those documenting the administration of the obsolete IT Competency Pay Program.	FY + 10	Best Practice	Shred / Delete
CHR-COM250	Personnel Studies and Surveys	Studies, statistical reports, surveys, memoranda, cost analyses, projections, and comparable records that examine any long-range aspect of personnel administration. Records may include 440 Ordinances, 440 Resolutions, class and salary listings, salary schedules (wage rate tables) and classification specifications.	P	Best Practice	Dept.
CHR-COM300	Tax Records - Employment	Records related to the collection and reporting of employment taxes for each employee. Includes name, address, social security number and basic demographics, compensation data including amounts and dates of actual payment and documentation to substantiate, and tax records that include amounts of wages subject to withholding, actual taxes withheld and documentation to substantiate.	FY + 7	22 CCR 1085-2(c); 29 USC 201-219; audit support	Shred / Delete
CHR-COM350	Tax Records - Withholding	Records related to the authorized withholding of federal, state and local taxes. Includes copies of employees' and recipients' income tax withholding allowance certificates (Forms W-2, W-4, W-4P, W-4S, and W-4V). Records series may also include copies of these forms that were returned as undeliverable.	REV + 7	29 USC 436; 26 CFR 31.6001-1(e)(2); Best Practice	Shred / Delete

Code		Record Series		Official Record Retention	Citation / Rationale	Final Disposition
Title	Description					
<b>Health and Safety (HSA)</b>						
CHR-HSA100	Accident and Safety Reports	Records related to the scheduled and unscheduled inspections of work areas with the purpose of identifying unsafe conditions and work practices. May include periodic safety evaluations, Bureau of Labor Statistics (BLS) Annual Reports, OSHA Citations and Correspondence. Records series may also include documentation of actual, alleged or reported workplace violence including specific details such as names, issues, department, supervisors, phone numbers and signatures.	CY + 5	8 CCR 3203(b)(1); 8 CCR 14300.33	Shred / Delete	
CHR-HSA150	Medical Records - Employees	Records concerning the health status of an employee which is made or maintained by a physician, nurse, or other health care personnel, or technician including dates of treatment, evaluations, medical health questionnaires or history, medical record subpoenas, treatment plan diagnosis. May also include records related to and supporting a written report from the Safety Division following a review of a County employee's worksite. These evaluations are conducted at the request of (1) an employee's Supervisor or (2) Workers Compensation, as a result of a workers compensation claim being filed. Records series may include employee's job duties, a review of work station prior to evaluation, work practices, training, assessment, immediate improvements and recommendations.	T + 30	8 CCR 3204(d)(1)(a) and 3204(c)(5); 29 CFR 1910.1020(d)(i) and 1910.1030(h)	Shred / Delete	
CHR-HSA200	Motor Vehicle Pulls (DMV) - Driving Records	Records related to the employee's authorization to operate a vehicle. Records series may include driver's log, certification, driver proficiency records, drug-alcohol testing log, copies of licenses.	CU + 4	Best Practice	Shred / Delete	
CHR-HSA250	Motor Vehicle Pulls (DMV) - Drug and Alcohol Testing: Driver Alcohol Testing and Results	Records related to driver alcohol levels. Records may include administration records of the alcohol and controlled substances testing programs, annual calendar year summary required by section 49 CFR 382.403, calibration documentation, controlled substances collection process records, driver alcohol test results (negative, cancelled, or concentration of 0.02 or greater), driver evaluation and referrals, driver verified positive controlled substances test results and refusals to take required alcohol and/or controlled substances tests.	CU + 5	49 CFR 382.401(b)	Shred / Delete	

<b>Record Series</b>				Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-HSA300	Motor Vehicle Pulls (DMV) - Drug and Alcohol Testing: Education and Training	Records related to Drug and Alcohol Testing education and training. Records may include documents surrounding the collection process and collection log books, drivers training records (maintained while the employee performs the functions that require the training and for two years after ceasing to perform those functions), education and training of breath alcohol technicians, screening for test technicians and supervisors training.	T + 2	49 CFR 382.401(b)(4)	Shred / Delete	
CHR-HSA350	Safety Program - Employee Files	Records retained to confirm participation in and successful completion of safety training programs. May include Department of Transportation records, Authorization to Drive County Vehicle or Private Vehicle on County Business (Form 30), Vehicle Accident Review Board (VARB) records and appeals, vehicle accident reports and supporting documentation. See also County Safety Operations Manual and Salary Ordinance 440.	CY + 5	8 CCR 3203(b)(2)	Shred / Delete	
CHR-HSA400	Safety Program - Training and Evaluation	Records related to the analysis and evaluation of the effectiveness of employee health and safety training programs. Includes safety training records containing: name of class, date of class, list of those registered, list of those who attended and copies of any tests administered. Also includes studies, analyses, cost data, and similar records concerning employee accidents and comparable records pertaining to accident prevention and safety.	CY + 5	OSHA 3148-01R 2004	Shred / Delete	
<b>Personnel (PER)</b>						
CHR-PER050	Advancement and Promotional Records	Records documenting the internal announcements or advertisements of promotional or advancement opportunities. Includes applications, resumes, interview records, evaluations, letters of recommendation, test results and final list.	CL of process + 3	29 CFR 1627.3; Best Practice	Shred/Delete	



Record Series			Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
CHR-PER100	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs. Records series includes records of employees and unhired applicants that demonstrate compliance with the statutes and regulatory requirements of the Equal Employment Opportunity Commission (EEOC), including reports, plans, statistical data, and other source material used to complete EEO-4 reports.	FY+ 5	29 CFR 1602.32; 29 CFR 30.8(e)	County Archives
CHR-PER150	Application and Selection Files	Records documenting the internal and external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime. Includes applications, resumes, interview records, evaluations, letters of recommendation, references from previous employers, and background checks.	Successful: place in Personnel File; Unsuccessful: CR + 3	29 CFR 1627.3; 29 CFR 801.30 (EPPA); see also 29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete
CHR-PER160	Assessment Records - Fit for Duty and Workplace Violence	Psychological assessment records generated at the request of the County of Riverside when an employee behaves at the workplace in a manner that suggests a mental health issue or a risk for workplace violence.	Place in Personnel File (T + 75)	Best Practice	Shred / Delete
CHR-PER165	Assessment Records - Pre-employment / Promotional / Arming (Hired)	Psychological assessment records generated per state or POST requirements for employees who work in dispatch positions, who will have peace officer powers or who will work in sensitive correctional positions. May also include psychological assessment consultations generated at the request of Occupational Health due to concerns about a potential mental health issue in an applicant.	Place in Personnel File (T + 75)	Best Practice	Shred / Delete

Record Series			Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
CHR-PER170	Assessment Records - Pre-employment - Adult (Not Hired)	Psychological assessment records generated per state or POST requirements for employees who work in dispatch positions, who will have peace officer powers or who will work in sensitive correctional positions. May also include psychological assessment consultations generated at the request of Occupational Health due to concerns about a potential mental health issue in an applicant.	CR + 7	BP 2919	Shred / Delete
CHR-PER175	Assessment Records - Pre-employment - Minor (Not Hired)	Psychological assessment consultations generated at the request of Occupational health due to concerns about a potential mental health issue of an applicant.	7 years from the date the patient reaches age 18	BP 2919	Shred / Delete
CHR-PER200	Collective Bargaining Agreements	Records documenting the process whereby workers organize collectively and bargain with employers regarding the workplace. Includes contracts, minutes, recordings, reports of collective bargaining negotiations/meetings, and associated correspondence and exhibits. May also include arbitration, arbitrator's recommendations, costing spreadsheets, memorandums of agreements (MOA) or memorandums of understanding (MOU), plans and trusts if a part of the union contract, research background material, strike contingency plans, tentative agreements, and union requests.	P	29 CFR 516.5(b)(3); 29 USC 436; Best Practice	County Archives
CHR-PER250	Corrective or Disciplinary Actions	Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Records may include arbitration decisions, demotions, documents pertaining to the action taken for reconsideration or appeal, employee discipline matters, investigation reports, notice of appeals, notice of discipline, records pertaining to adverse job actions, suspensions, terminations and written reprimands.	CL + 6	29 CFR 1602.31; Best Practice	Shred / Delete

Record Series			Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
CHR-PER300	Discrimination Complaint Records	Records pertaining to Disability and/or Discrimination Complaints. Includes any personnel or employment record made or kept by the employer concerning an individual with a disability such as application forms, compensation, complaints of discrimination, records concerning demotion, hiring, layoff, promotion, rates of pay, requests for reasonable accommodation, termination or transfer and selection for training and the selection process. Records may also include County responses to complaints, decisions and judgments, Equal Employment Opportunity Commission (EEOC) and the Department of Fair Employment and Housing (DFEH) Complaints, investigative documents and attachments, related correspondence, right-to-sue notices and withdrawal notices.	CL + 3	29 CFR 1602.14; 29 CFR 1602.30; 2 CFR 7287.0(b)	Shred / Delete
CHR-PER350	Employee History / Service Record	Records documenting the history of individuals' employment with the County of Riverside and retained in order to verify individuals' employment. Records series may include name, social security number and employee number, date of birth and other vital statistics, dates of employment, positions held, wage and salary rates, and similar information summarizing a person's employment history.	T + 75	Best Practice	Shred / Delete
CHR-PER400	Position Assessment Records	Records related to requests for recruitments from departments. Records may include advertising records for open positions, applications and application history, bilingual designation, contact information, county employee resume, documentation of the position [location, manager, position#], documentation of the results of each step in the requisition procedure, education extraction, electronic database record retention, employment denials, ethnicity disclosures, internal postings of open positions, interview history, items identified and qualification criteria, job bulletins, job orders submitted by the employer for recruitment, rating sheets, list of names resulting from the search/query, list of skills from resume, notation of position analysis, notes regarding qualifications/non-qualifications, reference checks, references to requisitions, results of search including criteria used, resumes (paper or electronic) and writing samples.	CL of the Process + 3	29 CFR 1602.31; GC 12946; Best Practice	Shred / Delete

Record Series		Description	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title				
CHR-PER450	Reasonable Accommodation Records	Records pertaining to requests for Disability Accommodation. Includes documentation of ADA self-evaluation, description of areas examined, problems identified and modifications made. May also include job specification, medical documentation of disability, medical inquiries, medical release form, qualification/non-qualification of person/disability, sign language request form, work accommodation request and agreement forms.	T + 3	29 CFR 1602.14; 29 CFR 1602.31; 29 CFR 1602.32	Shred / Delete
CHR-PER500	Work Authorization	Records related to an employee's authorization to work in the United States. Includes Form I-9 for each employee hired after November 6, 1986. I-9 forms should be kept in a file separate from other personnel records. May also include student work permits.	CR + 3 or T + 2, whichever is later	GC 26202; Best Practice	Shred / Delete
<b>Program Records (PRO)</b>					
CHR-PRO100	Educational Support Program	Records pertaining to the Educational Support Program. Records may include authorization to recover funds, career development plan, career interest inventory, copy of performance evaluation, copy of resume, educational support program 20/20 contract, justification forms, loan repayment file, participant file, program application, proof of current student loans, proof of textbook and tuition cost, reimbursement request form, signed authorization to recover funds form, signed acknowledgement of policies and procedures, transcripts and tuition reimbursement forms.	CL + 6	ERISA 107 and 209 as best practice	Shred / Delete
CHR-PRO150	Employee Assistance Program - Adult	Records pertaining to the Employee Assistance Program. Records series includes reports, assessments, questionnaires, interview sheets, correspondence and similar records relating to the counseling of employees. Records series may also include employee assistance activity program reports, Exclusive Care activity reports, and Risk Management medical malpractice reports.	Last date of entry + 7	BP 2919	Shred / Delete

Record Series			Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
CHR-PRO155	Employee Assistance Program - Minor	Records pertaining to the Employee Assistance Program. Records series includes reports, assessments, questionnaires, interview sheets, correspondence and similar records relating to the counseling of employees. Records series may also include employee assistance activity program reports, Exclusive Care activity reports, and Risk Management medical malpractice reports.	7 years from the date the patient reaches age 18	BP 2919	Shred / Delete
CHR-PRO200	Return to Work Program - Employee Records	Records related to the Return to Work Program. Includes all documentation concerning paid or unpaid leave status, any dispute or complaint from an employee concerning any legislative leave, benefit premium information, documentation detailing the dates and hours requested for any legislated leave, employee requests for and notices given related to leaves of absence.	CL + 3	Best Practice	Shred / Delete
CHR-PRO250	Ride Share	Records related to the County's Ride Share Program. Includes program enrollment and expense documentation such as survey data, expense reports, feasibility studies, Inland Transportation Services inventory and other documentation showing actual usage and sustainability of the program.	CY + 3	South Coast Air Quality Management District (AQMD) Rule 2202(j)(7)	Shred / Delete
CHR-PRO300	Wellness Program Biometric Data	Laboratory data collected as part of the countywide Wellness program and health study. Data is used for statistical analysis and program success evaluation.	CY + 7	Best Practice	Shred / Delete
<b>Risk Management (RM)</b>					
CHR-RM100	Audit Reports - Internal	Records maintained to analyze claims and loss data in order to evaluate County insurance exposure.	FY + 7	BP 5097(e)	Shred / Delete
CHR-RM150	General Liability Claims	Records maintained as documentation of claims for or against the County. Records establish the facts that support or negate liability. Records series may include photographs, diagrams, interviews and reports.	CL + 20	Best Practice	Shred / Delete

Record Series		Final Disposition
Code	Title	Description
CHR-RM200	General Liability Claims - Business Rules	Business rules related to the handling of liability claims for the County. This manual is maintained in order to ensure the consistent handling of claims per County of Riverside policy.
CHR-RM250	Insurance Policies - Certificates	Certificates issued as proof of insurance coverage and provided to third parties as such.
CHR-RM300	Insurance Policies - Applications	Applications to County insurance programs qualifying departments and physicians (malpractice) for coverage under the County's policy.
CHR-RM350	Structured Settlements	Records documenting the assignment of annuities in a structured settlement of claims. Annuities can contain provisions of payments to minor claimants in excess of 20 years into the future.
CHR-RM400	Worker's Compensation - Claims	Records related to the administration of the County's self-insured program and related claims. Includes all notices sent to the employee whether the claim is an indemnity or medical-only claim. Records series may also include accident reports; claim forms; correspondence; legal papers; and other service bills and reports; hospital, physician and emergency medical documentation relating to claims eligible under worker's compensation laws. At the discretion of the Workers' Compensation Division, claim files may be held until the termination of claimant employment plus an addition seven years if all benefits due have been paid in full.
CHR-RM450	Workers' Compensation - Record Only	Records related to the administration of the County's self-insured program and related claims of injury where no treatment was received beyond first aid and no claim number was assigned.



# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	County Human Resources	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	All Divisions	Schedule #:
Section:	All Sections	DRRS_CHR_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: Barbara Olivier Director Title  
 Date: 12-1-2011

**Records Management and Archives Program**  
 Name: Tauna Mallis Assistant Assessor-Clerk-Recorder Title  
 Date: 12-21-11

**County Archives**  
 Name: Jim Hofer Archives Manager Title  
 Date: 21 Dec 2011

**County Auditor-Controller**  
 Name: Gary Roor Deputy Auditor-Controller Title  
 Date: 12/22/11

**County Counsel**  
 Name: Tawny Lieu Deputy County Counsel Title  
 Date: 12/27/2011

**County Risk Management**  
 Name: Jim Sessions Risk Manager Title  
 Date: 12/27/11



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_TRANS\_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 Transportation and Land Management Agency, Transportation Department (TRANS) is adopted as per the recommendations of Board Policy A-43 and incorporates and therefore supersedes the Traffic Engineering Section DRRS adopted October 5, 1999.

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 Transportation 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. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a claim or a lawsuit is made against the county of Riverside, Transportation will suspend destruction of the subject records until all issues of the matter are resolved. Further, if Transportation is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, Transportation will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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



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## 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.

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## Explanation of Codes

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

**CY** = Calendar year end

**FY** = Fiscal year end

**CCP** = California Code of Civil Procedure

**GC** = California Government Code

**CFR** = Code of Federal Regulations

**NOC** = Notice of Completion (approved by the Board of Supervisors)

**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.

**P** = Permanent

## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Transportation Department/ TLMA  
 Schedule Type: Departmental Records Retention Schedule

Division: ALL  
 Schedule #: DRRS\_TRANS\_2011\_Rev01

Section: ALL

Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
<b>Administration (ADM)</b>					
TRANS-ADM 100	Accident Reimbursement	Record of payments related to Transportation vehicle accidents. Records series includes reports and copies of checks.	Garage; Risk Management	FY + 7	Audit support Shred/Delete
TRANS-ADM 150	Accounts Payable	Transportation accounts payable data related to department projects.	Transportation	Final Payment + 10	44 CFR 13.42(b) 49 CFR 18.42(b) CCP 337.15; Best Practice Shred/Delete
TRANS-ADM 200	Accounts Receivable	Claims prepared to recover payment for project-related goods and services.	Transportation	Final Payment + 10	44 CFR 13.42(b) 49 CFR 18.42(b) CCP 337.15; Best Practice Shred/Delete
TRANS-ADM 250	Allocations	Annual allocations to spread various pool of costs over certain projects. Records support the process used to spread costs as identified through analysis and in compliance with generally accepted government practices.	Transportation	Final audit + 10	49 CFR 18.42; Best Practice Shred/Delete
TRANS-ADM 300	Annual Road Reports	Annual road reports and supporting back-up documentation related to the use of gas tax and other departmental revenues and expenditures.	Agency Administration	Final audit + 10	49 CFR 18.42; Best Practice Shred/Delete
TRANS-ADM 350	Bridges Report	Reports on structure maintenance and the investigation of all bridges within the County. Records series includes transmittal sheets, investigation forms and other related documents.	Garage; ACO	P	Best Practice Dept.
TRANS-ADM 400	Diesel Fuel Tax Returns	Quarterly return based on the diesel fuel usage for on-road equipment.	Garage; ACO	FY + 7	Audit support Shred/Delete
TRANS-ADM 450	Equipment Rates	Annual rental rates developed for department equipment.	Garage; ACO	FY + 7	Audit support Shred/Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
TRANS-ADM 500	Underground Storage Tanks Maintenance Fee Returns	Quarterly return based on the amount of fuel placed into the underground storage tanks.	Garage; ACO	FY + 7	Audit support	Shred/Delete	
TRANS-ADM 550	Meeting Minutes	Official minutes from various internal department meetings.	Transportation	CY + 2	GC 26202	Shred/Delete	
TRANS-ADM 600	Rates	Annual rate calculations and supporting documentation for Data Base Fee (DBF), Indirect, Equipment Usage, benefits and overhead. Records series includes annual rental rates developed for department equipment.	Clerk of the Board; Transportation	Final audit + 10	GC 26202 Best Practices	Shred/Delete	
<b>Capital Projects (CAP)</b>							
TRANS-CAP 100	As-Builts	As-built plans (These may be covered in the construction retention policy)	Capital Project Development	P	Per Caltrans Federal Highway Administration Guidelines	Dept.	
TRANS-CAP 150	Capital Project Tracking	Monthly Transportation Improvement Plan (TIP) progress schedule documenting all project phases, deadlines, and milestones.	Capital Project Development	Audit + 2	GC 26202	Shred/Delete	
TRANS-CAP 200	Computer Aided Design & Drafting (C-ADD) Files	Electronic copies of documentation supporting Final Plans Specifications and Estimate (PS&E). Files are maintained in Portable Document Format (PDF).	Capital Project Development	P	Best Practice	Dept.	
TRANS-CAP 250	Final Project Construction Files	Subcategories within Final Contract Files are: Addenda, Agreements, Bid Evaluation, Bid Summary, Bonds, Caltrans documents/info (if applicable) Checklist, Contract (signed), Contractor's Proposal, Correspondence, Form 11/Minute Orders, Insurance, Plan Holder List, Program Supplement (if applicable), Right-of-Way Certification (if applicable), Specifications; change orders	Construction / Maintenance Vault (1st five (5) years)	NOC + 10	CCP 337.15; Best Practice	Robert J. Fitch County Archives (Final five (5) years)	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
	Title	Description					
TRANS-CAP 300	Preconstruction Project Files	Supporting documentation: Conceptual Design; Correspondence (External & Interdivisional Design); Project Study Report; Traffic Study; Final Plans Specifications and Estimate (PS&E); Miscellaneous (may include Exhibits, Maps, Photographs, ); National Pollutant Discharge Elimination System (NPDES) if applicable; Preliminary Design; Project Control (Cost Estimates; Consultant Agreements; Expenditures; Funding Agreements / Authorizations; Progress Tracking; Project Development Team; Quality Assurance/Quality Control (QA/QC) Plan; Scoping / Programming); Utilities; Traffic Management Plan	Capital Project Development	Final payment +10	CCP 337.15; Best Practice	Transfer to Construction/Inspection office to consolidated with Final Project Construction file.	
TRANS-CAP 350	Preconstruction Project Files - Advertisement and Award Files	Record copies of documentation supporting: Bid Summary; Contract; Contractor's Proposal; Form 11/Minute Orders (may include Contract/Lease/Purchase Summary Data, Encumbrance Information (B-PO), Project Costs/Budget/Funding, Vicinity Map); Specifications	Capital Project Development; Purchasing	NOC + 10	Best Practice	Shred/Delete	
TRANS-CAP 400	Preconstruction Project Files - Contract Documents and Support Files	Record copies of documentation supporting: Addenda; Bid Evaluation; Bonds; Caltrans Document Checklist; Correspondence; Insurance; Plan Holder List; Program Supplement; Reduced Size Plans (if any); Right-of-Way Certification Plans, Specification & Estimate Certification (PS&E Cert.)	Transportation Dept. - Construction / Inspection	NOC + 10	CCP 337.15	Transfer to Construction/Inspection office to consolidated with Final Project Construction file.	
TRANS-CAP 450	Preconstruction Project Files - Design Exceptions	Record copies of documentation supporting: Final Plan Specifications and Estimates (PS&E) Fact Sheet, Preliminary Design Fact Sheet.	Capital Project Development	P	Best Practice	Dept.	
TRANS-CAP 500	Preconstruction Project Files - General Files	Records including agreements, Coordination Community Meeting mailings, and correspondence.	Capital Project Development	CL + 10	Best Practice	Shred/Delete	

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
TRANS-CAP 550	Preconstruction Project Files - Grants & Status		Copy of record documentation supporting: Grant Applications; Grant Approval Notifications; Program Delivery Status Reports; Monthly Project Status Reports.	Capital Project Development	NOC + 10	Best Practice	Dept.	
TRANS-CAP 600	Preconstruction Project Files - State or Federally Funded		Supporting documentation: Conceptual Design; Correspondence (External & Interdivisional Design); Project Study Report; Traffic Study; Value Analysis; Consultant Selection; Geometric Approval Drawings (GADs); Final Plans Specifications and Estimate (PS&E); Miscellaneous; National Pollutant Discharge Elimination System (NPDES) if applicable; Preliminary Design; Project Control (Cost Estimates; Consultant Agreements; Expenditures; Funding Agreements / Authorizations; Progress Tracking; Project Development Team; Quality Assurance/Quality Control (QA/QC) Plan; Scoping / Programming); Utilities; Traffic Management Plan	Transportation Dept. - Construction / Inspection	NOC + 10 (NOC will be provided by Caltrans when final billing is submitted)	CCP 337.15	Transfer to Construction/ Inspection office to consolidated with Final Project Construction file.	
TRANS-CAP 650	Program Management		Documentation supporting: Funding Sources; Improvement Requests; Program Schedules; Project Scoping.	Capital Project Development	P	Best Practice	County Archives	
TRANS-CAP 700	Project Manager & Engineer Project Files		Subcategories within Final Project Files are: Action Items, Agreements, Alignments, Authorization Requests/Permits, Budget; Correspondence, Cost Estimates, Design, Environmental, Exhibit/Map/Picture, Fees, Field Review; Funding Source, Invoices, Meetings, Miscellaneous, Plan Check, Plans; Progress Report, Right-of-Way; Schedule, Soils Report, Specifications; Structural Section/Traffic Report; Survey, Utilities.	Capital Project Development	NOC + 10	CCP 337.15	Shred/Delete	
TRANS-CAP 750	Special Program - California Public Utilities Commission Rule 20 - District Project Files (Public Hearings)		Documentation supporting Public Hearings on establishing a new underground utility district. (Will include Form 11 and attachments, which may include exhibits, photos, maps.)	Clerk of the Board	P	Best Practice	Dept.	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
TRANS-CAP 800	Special Program - Disadvantaged Business Enterprise (DBE) Program Files	Documentation supporting the Program as well as individual projects. Records series may include project records, annual updates to program, annual attainment records.	Capital Project Development	P	Best Practice; 49 CFR 26.103(a); 49 CFR 26.11	Dept.	
<b>Construction Inspection (INSP)</b>							
TRANS-INSP 100	Construction Inspection Files - Federal or State Funded	Estimates and documents pertaining to construction; correspondence, change orders, resident diaries, photos, environmental permits, form 11, notice of completions, and agreements, bid summaries/awards.	Construction Inspection	Life of structure	Best Practice	Shred/Delete	
TRANS-INSP 150	Tract/Parcel Map / Inspection Files - Blue File	Records series includes Inspector diaries, Photos, Materials lab reports, Correspondence, Occupancy releases.	Construction Inspection	P	Best Practice	Dept.	
TRANS-INSP 200	Tract/ Parcel Map Bond and Agreement / Inspection Files - Red File	Records series includes agreements, bonds, documents to support LLC's, correspondence regarding bonds/agreements. If needed, bond enforcement package to County Counsel.	Construction Inspection	P	Best Practice	Dept.	
TRANS-INSP 250	Tract/ Parcel Map Bond and Agreement/ Inspection Files - Manila File	Records series includes agreements, bonds, inspection reports and correspondence between Developer and Plan Check section.	Construction Inspection	Life of structure	Best Practice	Shred/Delete	
<b>Environmental (ENV)</b>							
TRANS-ENV 100	Environmental Documents	Categorical Exemption/Exclusion, Mitigated Negative Declaration, Finding of No Significant Impact, Environmental Impact Report/Statement, includes technical studies, public meeting records (non-BOS), agency consultation, legal notices, Board submittal, minute orders and Notices of Determination.	Environmental Division	CL + 20	Best Practice	Shred/Delete	
TRANS-ENV 150	Mitigation Monitoring files	On and off site mitigation, construction monitoring in support of ongoing road construction activities.	Environmental Division	CL + 20	Best Practice	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
TRANS-ENV 200	Permits- Streambed, Water Quality, Waters of the US, Listed Species	Streambed related permits, Habitat Conservation Plan compliance, habitat restoration plans, restoration/construction monitoring reports	Permitting Agencies	CL + 20	40 CFR 122.41 (j); Best Practice	Shred/Delete	
Materials Lab (MAT)							
TRANS-MAT 100	Compaction Testing	Records related to the results of compaction testing of aggregate base and subgrade material on development and capital projects. Form 290 for compaction test and Form RD 181 for maximum density/optimum moisture determination.	Materials Lab	CL + 10	CCP 337.15	Shred/Delete	
TRANS-MAT 150	Mix Designs	Records related to approved asphalt and concrete mix designs for development and capital projects. These designed show proportions of materials, aggregate properties, Portland cement and asphalt binder properties, and aggregate grading compliance.	Materials Lab	CL + 10	CCP 337.15	Shred/Delete	
TRANS-MAT 200	Plant Inspection	Records related to asphalt and concrete plant inspection results for aggregates, asphalt binder, Portland cement, stockpiles, and temperature of asphalt and concrete. Certification and verification of weigh scales and inspection of lab, control room, and entire plant facility.	Materials Lab	CL + 10	CCP 337.15	Shred/Delete	
TRANS-MAT 250	Radiation Safety Files - Current Equipment and Personnel	Radiation safety files for current radiological license documents, personnel training forms, personnel protective badges, nuclear gauge leak test results, gauge inventory and calibration, and radiation safety program plan.	Materials Lab	Expiration of Certificate + 3	10 CFR Part 34 subpart E; 10 CFR 20.2102(b)	Shred/Delete	
TRANS-MAT 300	Radiation Safety Files - Returned equipment and former personnel	Radiation safety files for sign on/off notification form for former personnel (original form submitted to State of CA Radiologic Health Branch). Purchase and disposal / returned form of nuclear gauge for returned equipment.	Materials Lab	CY + 10	10 CFR Part 34 subpart E; 10 CFR 20.2102(b); Best Practice	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
TRANS-MAT 350	R-Value Tests	R-Value test results and calculations for subgrade soil and aggregate base showing compliance with specs for development and capital projects. Includes graphs and charts for determining exudation pressure and measurement of R-value per Caltrans CTM 301.	Materials Lab	CL + 10	CCP 337.15	Shred/Delete	
TRANS-MAT 400	Structural Sections	Records related to structural sections for streets in development and capital projects. Includes memos to developers, public agencies and design division with location maps identifying Traffic Index, R-value, and asphalt and aggregate base thicknesses.	Materials Lab	CL + 10	CCP 337.15	Shred/Delete	
<b>National Pollution Discharge Elimination System (NPDES)</b>							
TRANS-NPDES 100	Municipal Storm System	Files supporting the mapping of our storm water conveyance system for the Regional Boards, such as files pertaining to the location of facilities, characteristics, and inventory information.	Water Quality Program-Agency Administrator	P	Best Practice	Dept.	
TRANS-NPDES 150	Special Program - National pollutant Discharge Elimination System (NPDES) - Construction Related	Documentation supporting best management practice, notice of intent, post construction management and storm water production prevention plans.	Capital Project Development	CY + 5	40 CFR 122.41(j)	Shred/Delete	
TRANS-NPDES 200	Special Program - National Pollutant Discharge Elimination System (NPDES) - On-going compliance / post-construction related	Documentation supporting: Permanent or on-going Best Management Practice; Post-Construction Management; reporting and training.	Construction / Maintenance Vault	P	Best Practice	County Archives	
TRANS-NPDES 250	National Pollution Discharge Elimination System - Reporting	Annual Reports, and accompanying data that substantiates information reported such as training forms, monitoring reports, construction site information, and catch basin cleaning information.	Water Quality Program-Agency Administrator	FY + 5	40 CFR 122.42 (e)(2)	Shred/Delete	



Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
<b>Permit Division (PRMT)</b>						
TRANS-PRMT 100	Complaints	Complaint files include, complaint form, photos and correspondence. Complaint electronic file includes copy of the complaint.	Permits Section	Resolution + 3	GC 26202; Best Practice	Shred/Delete
TRANS-PRMT 150	Encroachment Permits	Records related to the issuance of encroachment permits. Records series may include permit copy, application, receipt of payments and security deposits, preliminary plans, final plans, utility plans and correspondence.	Permits Section	Permit expiration or completion of project, whichever is later + 10	CCP 337.15; Best Practice	Shred/Delete
TRANS-PRMT 200	Surface Mining Permits - County Operated	Documentation concerning County Operated Surface Mining Permits; mining inspection reports, act forms, financial assurances and reclamation plans.	Highway Ops; Clerk of the Board	Public Hearing approval + 2	GC 26202	Shred/Delete
TRANS-PRMT 300	Transportation Permits	Records related to oversized and special vehicle routing and permits. Records series may include a copy of the transport permit and the application.	Permits Section	Expiration + 2	GC 26202	Shred/Delete
<b>Planning Division (PLAN)</b>						
TRANS-PLAN 100	Bike Trails/Grants/Air Quality	Documentation supporting Santa Ana River Trail, Transportation Environmental Enhancement Grants, Congestion Management Air Quality Grant, Community Development Block Grants and Transfer Issues.	Planning Division	CL + 7	GC 26202; 49 CFR 18.42; Best Practice	Shred/Delete
TRANS-PLAN 150	City Correspondence	Documentation for city correspondence regarding Tracts and Environmental Impact Reports and other agency correspondence.	Planning Division	CL + 3	GC 26202; Best Practice	Shred/Delete
TRANS-PLAN 200	Community Facilities District/ Assessment District/ Transportation Uniform Mitigation Fee Agreements	Agreements and Board Reports maintained by Planning Division Manager.	Clerk of the Board	NOC + 7	GC 26202; Best Practice	Shred/Delete
TRANS-PLAN 250	Conditional Use Permit/ Public Use Permit/ Plot Plan Files	Correspondence, hydrology reports and agreements maintained by Plan Check Clerical in support of ongoing construction activities.	Plan Check Section	NOC + 10	CCP 337.15	Shred/Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TRANS-PLAN 300	General Plan Amendments - approved	Staff Reports, Board Reports and Resolutions.		Clerk of the Board	P	Best Practice	Shred/Delete
TRANS-PLAN 350	General Plan Amendments - withdrawn	Staff Reports, Board Reports and Resolutions.		Planning Division	CY + 2	GC 26202	Shred/Delete
TRANS-PLAN 400	Landscaping and Lighting Maintenance District Files	Backflow Certifications, Board Reports (Form 11s), Resolutions, Engineer's Reports, Fiscal Year Contracts, and Invoices. Maintained by Landscape and Lighting Maintenance District Administrator.		Clerk of the Board for all contracts over \$100,000. Purchasing for all contracts under \$100,000.	FY + 10	GC 26202 Best Practices	Shred/Delete
TRANS-PLAN 450	Road Book Archives	Copy of record of Road Book. Non-record copy of Road Book Annual Report.		Clerk of the Board for Road Book Annual Report	P	Best Practice	Dept.
TRANS-PLAN 500	Senate Bill No. 821 (Sidewalk/Bikeway Grant) Applications	Senate Bill No. 821 applications and documentation of cost estimates for projects.		Riverside County Transportation Commission	Application submittal date + 3	GC 26202; Best Practice	Shred/Delete
TRANS-PLAN 550	Master Plan (Specific Plans)	Master Document files that regulate ongoing planning activities.		Clerk of the Board	CY + 3	GC 26202; Best Practice	Shred/Delete
TRANS-PLAN 600	Traffic Study Reports	Traffic Study Reports and related correspondence material which include comments and scoping agreements.		Traffic Study Section	Public Hearing Approval + 5	GC 26202; Best Practice	Shred/Delete
TRANS-PLAN 650	Tract Map/ Parcel Map Files	Hydrology reports and agreements maintained by Plan Check Clerical.		Plan Check Section	Plan Check Completion + 2	GC 26202	Purge duplicates THEN transfer to Construction/Inspection office to consolidated with Final Project Construction file.

Code		Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Special Districts (SD)	Title	Code	Description					
TRANS-SD 100	Transportation Improvement Program (TIP) - Annual Editions		Annual Transportation Improvement Plan Documents. Records series may include a listing of projects broken down by road name, length, scope, comments, construction resources, limits, existing width, proposed width, fund source code, project number, road book page and number, lead agency, funds available, actual and projected costs, and fund source definitions.	Transportation Dept. - TIP Group		Best Practice	Shred/Delete	
TRANS-SD 150	Transportation Improvement Program (TIP)		Transportation Improvement Program funding documents for projects with Federal, State or Local funding.	Transportation Dept. - TIP Group	Final reimbursement + 7	49 CFR 18.42; Audit support	Shred/Delete	
TRANS-SD 200	Grants - Miscellaneous		Applications, award notifications and progress reports for miscellaneous grants, which include SB821 Sidewalks, SB 621 Indian Gaming, Air Quality, etc.	Transportation Dept. - Special Districts	Final reimbursement + 7	Best Practice and Audit Support	Shred/Delete	
TRANS-SD 250	Road and Bridge Benefit Districts (RBBD)		Formation documents, amendments, developer agreements and assignments, correspondence, periodic reporting, developer payment requests and other supporting documents	Transportation Dept. - Special Districts	P	Best Practice and Audit Support	Dept.	
TRANS-SD 300	Western Transportation Uniform Mitigation Fee (TUMF) - Trans		Western TUMF developer agreements and assignments, Western TUMF agency agreements and amendments, correspondence, periodic reporting, developer payment requests and other supporting documents	Transportation Dept. - Special Districts	P	Best Practice and Audit Support	Dept.	
TRANS-SD 350	Development Impact Fee (DIF) - Trans		Developer agreements for traffic signals and road improvements, DIF funding authorizations, correspondence, periodic reporting, payment requests and other supporting documents	Transportation Dept. - Special Districts	P	Best Practice and Audit Support	Dept.	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TRANS-SD 400	Community Facilities District (CFD) - Trans	Developer agreements and assignments, correspondence, periodic reporting and other supporting documents		Transportation Dept. - Special Districts	P	Best Practice and Audit Support	Dept.
<b>Survey (SUR)</b>							
TRANS-SUR 100	Land Development and Map Checking - <b>Corner Records</b>	The written record of corner establishment or restoration for every corner established by the survey of public lands and/or property corners, property controlling corners, reference monuments or accessories to a property corner.		County Surveyor	P	Best Practice	Dept.
TRANS-SUR 150	Geodetic Files	Control Surveys, Preliminary Surveys, Right-of-Way Surveys, Boundary Surveys, Design Surveys, Acquisition Surveys, Construction Surveys, Correspondence, and Field Books		County Surveyor - Geodetic	P	Best Practice	Dept.
TRANS-SUR 200	Local Agency Formation Commission (LAFCO) files	Legal descriptions for jurisdictional boundary creation and change.		LAFCO Office	P	GC 56382; Best Practice	Dept.
TRANS-SUR 250	Right of Way Activities	Records related to Right of Way including resolutions related to vacation, acceptance, street name change, dedication, etc.		County Surveyor	P	Best Practice	Dept.
TRANS-SUR 300	Land Developing and Map Checking - <b>Tract/Final Maps</b>	Tract/Final Tract Maps are recorded with the County Recorder with a copy on file with the County Surveyor. Records series includes Environmental Constraint sheets (on file with the County Surveyor). (A subdivision map prepared in compliance with the Subdivision Map Act, Article 2 of Chapter 2, and approved in compliance with the Subdivision Map Act, Article 4 of Chapter 3.)		County Surveyor, Clerk of the Board, County Recorder	P	GC 27556 - County Surveyor to be Ex Office Deputy Recorder, Best Practice	Dept.
TRANS-SUR 350	Land Development and Map Checking - <b>Parcel Maps</b>	Parcel Maps recorded with the County Recorder. Records series includes Environmental Constraint sheets (on file with the County Surveyor). (A subdivision map prepared in compliance with the Subdivision Map Act, Article 3 of Chapter 2, and approved in compliance with the Subdivision Map Act, Article 5 of Chapter 3.)		County Surveyor, Clerk of the Board, County Recorder	P	GC 27556 - County Surveyor to be Ex Office Deputy Recorder, Best Practice	Dept.

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
TRANS-SUR 400	Land Development and Map Checking - Minor Land Actions	Lot Line Adjustments, Parcel Mergers, Certificates of Compliance have final documents recorded with the County Recorder. (These projects are Planning Applications so Planning has the primary file.) Records related to planning applications to determine the legality of a parcel of land, or to merger 4 or less adjacent parcels of land under common ownership, or to adjust the internal lines of 4 or less adjacent legal parcels of land; all resulting in a recorded document.	Planning, County Surveyor, County Recorder	P	Best Practice	Dept.	
TRANS-SUR 450	Land Development and Map Checking - Records of Survey	Records of Survey are recorded with the County Recorder and are a record of a field survey made in conformity with the practice of land surveying by a licensed Land Surveyor or qualified licensed Engineer.	County Surveyor, County Recorder	P	GC 27556 - County Surveyor to be Ex Officio Deputy Recorder; Best Practice	Dept.	
TRANS-SUR 500	Unrecorded Survey Related Documents	Improvement Plans, Survey Field Notes, Street Ties, Bench Marks, Assessment District Maps, Official Maps, Monumentation Maps, Micro Jackets, Abstracts, Road Abstracts, Tube Files, Co. Right-of-Way and P&P Maps, and State Hwy Maps	County Surveyor	P	Historical/Best Practice	Dept.	
<b>Traffic Engineering (TE)</b>							
TRANS-TE 100	Area Files	Documents consist of original letters from the public requesting reviews and our responses. Misc. documents relating to specific locations in the County. Documents were filed based on the Transportation Department Road Map book page number.	Traffic Engineering	CY + 10	GC 26202; Best Practice	Shred/Delete	
TRANS-TE 150	CHP Traffic Collision Reports or Accident Reports	Created by CHP, traffic collision reports are analyzed to improve traffic safety on County maintained roadways. Reports also assist in the defense of lawsuits and to bill responsible parties for damage to County property.	Traffic Engineering	CY + 10	GC 26202; Best Practice	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TRANS-TE 200	General Files	General information regarding County maintained roadways Riverside County Transportation Department field work, misc. completed studies, agreements, school districts, crossing guard information.	Traffic Engineering	CY + 10	GC 26202; Best Practice	Shred/Delete	
TRANS-TE 250	Installation Orders, Markings	(RD Form 164) These are used by staff to order various pavement markings through the Paint & Sign shop. Records usually correspond with SRF's and provide written documentation for use by operational and maintenance staff to aid in day-to-day activities, including labor/supply budgets and scheduling of work. Documentation lists date and location of pavement markings installation. Also called I/O's, file also includes forms and maps that are filed by year, maintenance district number, and then by date order. Records provide written documentation and require permanent retention due to ongoing need to defend the county in all legal proceedings regarding the installation of the roadway signs.	Traffic Engineering	CL + 10	GC 26202; CCP 337.15	Shred/Delete	
TRANS-TE 300	Ordinances: Speed Zone (Ordinance #452)	Board approved ordinances and maps of speed zones (other than prima facie) on County roadways. Zones are reviewed by Transportation Dept. staff and recommendations are submitted to the Board for approval. Recommendation is based on results of Engineering and Traffic Survey (E&TS), which is required on all speed zones in order to be radar-enforceable by the CHP. Filed numerically by ordinance number in a 3-ring binder. Records require permanent retention to maintain accurate records due to ongoing establishment of new speed zones and amendments of existing speed zones.	Clerk of the Board	P	Best Practice	Dept.	
TRANS-TE 350	Radar Speed Zones	Forms, maps, field data sheets, etc., used to establish legal speed zones that are enforceable by the CHP using radar. The proposed speed zone is submitted to the Board of Supervisors for ordinance approval. Zones are valid and legally enforceable by CHP for 7 years or up to 10 years if certain conditions are met, then road must be re-surveyed.	Traffic Engineering	CY + 10	GC 26202; CCP 337.15; Best Practice	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
	Title	Description					
TRANS-TE 400	Resolution 413 (Ordinance 413: Regulating Vehicle Parking)	Records series includes Board-approved resolutions and map(s) of no parking, no stopping, loading, limited time, et al, zones. More recent resolutions in this file include a copy of the Form 11a (Board Submittal). Records require a permanent retention to maintain accurate records and due to on-going establishment of new restricted parking zones & amendments of existing restricted parking zones. Filed numerically by resolution number. Includes Form 11's, resolutions, and maps.	Traffic Engineering	CY + 10	GC 26202; Best Practice	Shred/Delete	
TRANS-TE 450	Service Request Forms	Form is used to track and record requests from the public and/or other departments/agencies for engineering reviews on County roadways. Provides basic information for engineering staff to determine what traffic control devices are appropriate. Hard copy and attached data may be used as background documentation of dates and type of work performed, devices installed, date of installation, any correspondence or reports written pertaining to that particular request, and any action taken. There are record of engineering reviews made by department, which are used in County's defense when needed. Records allow a more adequate defense of the County in event of litigation.	Traffic Engineering	CY + 10	GC 26202; CCP 337.15; Best Practice	Shred/Delete	
TRANS-TE 500	Traffic Project Files	General information regarding on-going or completed traffic signal or construction projects by the engineering staff.	Traffic Engineering	End of lease or ownership + 5	GC26202; Best Practice	Shred/Delete	



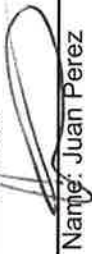
# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Transportation and Land Management Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	ALL	Schedule #:
Section:	ALL	DRRS_TRANS_2011_Rev01

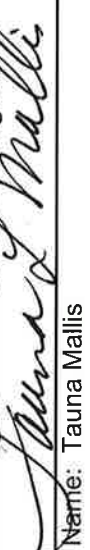
## SIGNATURE PAGE

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

Name:  Juan Perez  
 Title: Transportation Director  
 Date: 10/12/11

### Records Management and Archives Program

Name:  Tauna Mallis  
 Title: Assistant Assessor-Clerk-Recorder  
 Date: 12-21-11

### County Archives

Name:  Jim Hofer  
 Title: Archives Manager  
 Date: 21 Dec. 2011

### County Auditor-Controller

Name:  Gary Floor  
 Title: Deputy Auditor-Controller  
 Date: 12/22/11

### County Counsel

Name:  Tawny Lieu  
 Title: Deputy County Counsel  
 Date: 12/27/2011

### County Risk Management

Name:  Jim Sessions  
 Title: Risk Manager  
 Date: 12/22/11





## County of Riverside, California Departmental Records Retention Schedule (DRRS\_DPSS\_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."

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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)

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### Introduction

This Departmental Records Retention Schedule (DRRS) for the Department of Public Social Services (DPSS) 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 DPSS 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. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a claim or a lawsuit is made against the county of Riverside, DPSS will suspend destruction of the subject records until all issues of the matter are resolved. Further, if DPSS is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, DPSS will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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## 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.

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## Explanation of Codes

**ACL** = All County Letter (distributed by the California Department of Social Services)

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

**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.

**CCR** = California Code of Regulations

**CMIPS** = Case Management, Information and Payrolling System

**ERISA** = Employee Retirement Income Security Act (1974)

**FY** = Fiscal Year End

**GC** = California Government Code

**P** = Permanent

**PC** = California Penal Code

**REV** = Revised

**T** = Termination (of employment, of use, of a benefit or a plan)

**WIC** = California Welfare & Institutions Code



## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Department of Public Social Services

Division: Administrative Services, Adult Services, Children's Services and Self-Sufficiency Divisions  
Section: All

Schedule #:  
**DRRS\_DPSS\_2011\_Rev01**

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
<b>Administrative Services</b>						
DPSS0100	Data Management	Records relating to database structure and content that are necessary to ensure adequate documentation of system.	DPSS / Research and Evaluation Unit	REV + 2	GC 26202	Shred/Delete
DPSS0150	Program Audits - State or Federal	Records relating to the documentation and verification necessary to support required case level reviews for the State and/or Federal governments.	DPSS / Research and Evaluation Unit; Quality Control	FY + 3	ACL 11-20	Shred/Delete
DPSS0200	Reports	Data and information provided to management and staff for use in planning, decision making and managing workload.	DPSS / Research and Evaluation Unit	CY + 3	GC 26202; Best Practice	Shred/Delete
DPSS0300	Research and Program Evaluation - Local or small scale studies	Records necessary to assess the effectiveness and/or service needs of the social services programs of DPSS. Records series applies to local or small scale studies and includes contract or MOU, correspondence, management reports, surveys, proposals.	DPSS / Research and Evaluation Unit	Last activity + 5	Best Practice	Shred/Delete
DPSS0350	Research and Program Evaluation - National or large scale studies	Records necessary to assess the effectiveness and/or service needs of the social services programs of DPSS. Records series applies to national or large scale studies and includes contract or MOU, correspondence, management reports, surveys, proposals.	DPSS / Research and Evaluation Unit	Last activity + 10	Best Practice	Shred/Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
<b>Adult Services</b>						
DPSS0400	Applications for Health Benefits	Applications from In-Home Supportive Services providers who are applying for health benefits.	DPSS / Adult Services Division	T + 6	ERISA 107 and 209; Best Practice	Shred/Delete
DPSS0450	Client Files - IHSS	Records related to the client's IHSS case. Records series may include Medi-Cal eligibility information, assessment of IHSS services and provider enrollment documentation.	DPSS / Adult Services Division	CL + 7	Best Practice	Shred/Delete
DPSS0500	Client Information Release	Records related to the approval of other agencies to disclose health information. Records series includes the Multipurpose Senior Services Program Authorization for use and Disclosure of Protection Health Information form.	DPSS / Adult Services Division	CL + 6	Best Practice	Shred/Delete
DPSS0550	Consolidated Omnibus Budget Reconciliation Act (COBRA) & American Reinvestment & Recovery Act (ARRA) Records	Documents pertaining to providers application for COBRA. Records series may include COBRA applications and Case Management, Information & Payrolling System printouts.	DPSS / Adult Services Division	CL + 6	ERISA 107 and 209; Best Practice	Shred/Delete
DPSS0600	Health Benefits Premium Collection Packet	Document relating to the collection of premium payments from eligible providers. Records series may include the collection letter and Case Management, Information and Payrolling System (CMIPS) printouts and Full Data Set (FDS) printouts.	DPSS / Adult Services Division	CL + 6	ERISA 107 and 209; Best Practice	Shred/Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
DPSS0650	Health Benefits Reconciliations	Documents relating to the reconciliation of health benefits for providers. Records series may include Invoices from benefit providers and reports from the United Domestic Workers of America.	DPSS / Adult Services Division	CL + 6	ERISA 107 and 209; Best Practice	Shred/Delete
DPSS0700	Registry Case Files - Consumer	Documents pertaining to the client's IHSS case. Records series may include consumer registry application, case notes, copies of match lists, correspondence and the information tracked within the Case Management, Information & Payrolling System (CMIPS).	DPSS / Adult Services Division	Audit + 10	WIC 10851	Shred/Delete
DPSS0750	Registry Case Files - Provider	Documents pertaining to the provider's registry intake process. Records series may include provider application, copy of provider driver's license and their social security number. May also include background check and drug and alcohol screening records.	DPSS / Adult Services Division	T + 10	WIC 12301.24; WIC 12305.87 (b) and (d)(4); ACL 10-35; ACL 10-51; ACL 11-12	Shred/Delete
DPSS0800	Registry Case Files - Provider (ineligible and disqualified)	Documents pertaining to the provider's registry intake process. Records series may include provider application, copy of provider driver's license and their social security number as well as the disqualified letter. May also include background check and drug and alcohol screening records	DPSS / Adult Services Division	CL + 2	GC 26202; ACL 10-51	Shred/Delete
DPSS0850	Reports	Records related to administrative reports such as Quality Assurance reports, IHSS Death Match reports, IHSS Fraud Reports, statistical reports, work flow reports, program access agreements and State policy interpretations.	DPSS / Adult Services Division	CL + 5	Best Practice	Shred/Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
DPSS0900	Worker's Compensation File	Documents pertaining to Worker's Compensation claims. Records series may include initial claims, letters from doctors and other information pertaining to the Worker's Compensation claim.	DPSS / Adult Services Division	Once all benefits have been paid in full + 7	8 CCR 10102; 8 CCR 15400.2	Shred/Delete
<b>Children's Services Division</b>						
DPSS0950	Adoption Files	All documents, forms, and email related to all aspects of CWS adoption cases.	DPSS / Children's Services Division	P	22 CCR 89179; FC9200	Dept.
DPSS1000	Case File	All documents, forms, and email related to Child Welfare Services cases in all programs. Records series may include group home placement screenings and Team Decision Making files, which document meetings with parents, community and department staff to determine appropriate placement of a child.	DPSS / Children's Services Division	Minor client reaches age 28 & receipt of Court Order	WIC 826(a)	Shred
DPSS1050	Data Reports	All schedules and ad hoc data or other statistical reports and projects not case specific.	DPSS / Children's Services Division	CL + 2	GC 26202	Shred
DPSS1100	Referral File	All documents, forms, email and recordings of referrals received, which do not transition to a case file.	DPSS / Children's Services Division	CL +10	WIC 10851; PC 11169(c); PC 11170(a)(3)	Shred

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
<b>Self-Sufficiency</b>						
DPSS1150	C-IV Case Records	All case related records used to identify customers who are eligible for services, indicate the services provided and case actions as applicable. Records series may include applications for benefits, customer rights and responsibilities, customer verifications, customer medical records, correspondence, child care documents, service plans/agreements and/or administrative hearing documents.	DPSS / Self-Sufficiency	P	Best Practice	Dept.

<b>COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE</b>	
<b>Department / Agency:</b> Department of Public Social Services	<b>Schedule Type:</b> Departmental Records Retention Schedule (DRRS)
<b>Division:</b> Administrative Services, Adult Services and Children's Services Divisions	<b>Schedule #:</b> DRRS_DPSS_2011_Rev01
<b>Section:</b> ALL	

**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 Loew Title: Director Date: 10/13/11

**Records Management and Archives Program**

Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 10/21/11

**County Archives**

Name: Jim Hofer Title: Archives Manager Date: 21 Dec. 2011

**County Auditor-Controller**

Name: Gary Poor Title: Deputy Auditor-Controller Date: 12/22/11

**County Counsel**

Name: Tawny Lieu Title: Deputy County Counsel Date: 12/07/2011

**County Risk Management**

Name: Jim Sessions Title: Risk Manager Date: 12/22/11