

216



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

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

SUBMITTAL DATE:
July 16, 2013

SUBJECT: Approval of three Departmental Records Retention Schedules (DRRS)

RECOMMENDED MOTION: That the Board of Supervisors approve the attached Departmental Records Retention Schedules (DRRS) for the County Executive Office, TLMA's Transportation, and Public Health's Community Outreach 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

FORM APPROVED, COUNTY COUNSEL

BY: TAWNY V. LIU DATE: 6/24/13

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

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

C.E.O. RECOMMENDATION: APPROVE
County Executive Office Signature *Jennifer Sargent*
By Jennifer Sargent

- Policy
- Consent
- Policy
- Consent
- Dept's Recomm.:
- Per Exec. Ofc.:

3113 TCE - 3 VW10: PJ
COUNTY OF RIVERSIDE
RECORDS MANAGEMENT DIVISION

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

ATTACHMENTS FILED
WITH THE CLERK OF THE BOARD

3-12

**Record Retention Schedules
Listed by Department
July 16, 2013**

NEW SCHEDULES

County Executive Office

All sections (Attachment A)

Supersedes scheduled adopted December 7, 2010 Agenda #3.4

Traffic and Land Management Agency

Transportation

All sections (Attachment B)

Supersedes scheduled adopted January 10, 2012 Agenda # 3.10

Public Health

Community Outreach

All sections (Attachment C)

Supersedes scheduled adopted December 7, 2010 Agenda #3.4



County of Riverside, California Departmental Records Retention Schedule (DRRS_CEO_2013_Rev03)

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 County Executive Office is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted December 7, 2010 as agenda #3.4.

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 Executive Office 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 lawful claim or a lawsuit is made against the county of Riverside, the Executive Office will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Executive Office is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Executive Office will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

CCP = California Code of Civil Procedure

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.

CU = (While) Current

CY = Calendar year end

FY = Fiscal year end

GC = California Government Code

P = Permanent

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



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: County Executive Office Schedule Type: Departmental Records Retention Schedule

Division: All

Section: All

Schedule #:

DRRS_CEO_2013_Rev03

Record Series

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
CEO - CEO100	Bonds - revenue	Records related to the issuing of bonds which are secured by land or lease revenue to finance various County projects. Projects include capital projects, building acquisitions, transportation or similar projects. Records series may include the bond issue, agreements, expenditures, investments, reports and any other supporting documentation.	County Executive Office	CL + 7	CCP 349.2; Audit Support	Shred/Delete
CEO - CEO150	County Augmentation Agreements	Records related to or resulting from a County Augmentation Agreement. Depending upon the terms of the agreement, records series may include the signed contract, correspondence, fiscal projections, payment receipts and any other documentation required by contract.	County Executive Office	CL + 7	CCP 337; Audit support	County Archives
CEO - CEO200	Internal Service Fund (ISF) Rates Annual Submission Package	County fee packages submitted by ISF departments in support of annual fee approval. Records are maintained as backup documentation for rates submitted to the Board of Supervisors for approval. They also serve to establish a fee inventory and consolidated ordinance.	County Executive Office	FY + 7	GC 26202; Audit Support	Shred/Delete
CEO - CEO250	Mobile Home Petitions and Case Files	Records related to cases filed on behalf of mobile home park owners and/or residents. Records series may include those petitions made in accordance with County of Riverside Ordinance 760.2 and supporting documents including lease agreements if part of the case file.	County Executive Office	CL + 4	CCP 337; Best Practice	Shred/Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
CEO - CEO300	Mobile Home Registration Forms	Records documenting the yearly registration of mobile home parks within the County of Riverside. Documentation is maintained in accordance with County Ordinance 760.2.	County Executive Office	FY + 2	GC 26202	Shred/Delete
CEO - CEO350	Personnel Files	Confidential records documenting the hiring process, salary and annual reviews for County agency directors, department heads, Executive Office staff and Special Districts.	County Executive Office	T + 75	GC 26202; Best Practice	Shred/Delete
Developer Mitigation, Developer Agreement and Developer Impact Fees (DM, DA and DIF)						
CEO - CEO450	Capital Improvement Annual Call	Annual request for project expenses related to DIF Funds. Records series includes correspondence, reports and spreadsheets. This information is used to prepare the Development Fees Annual Report and support the Nexus study.	County Executive Office	FY + 7	GC 26202; Audit Support	Shred/Delete
CEO - CEO500	Development Fees Annual Report	Annual report completed in accordance with GC 66006 providing full disclosure to the public of the imposition and use of developer impact fees. Records series includes the Submittal to the Board of Supervisors (Form 11).	Clerk of the Board	CY + 2	GC 26202; Best Practice	County Archives
CEO - CEO550	Development Fees Monthly Report	Reports distributed monthly to the Board of Supervisors and County departments reflecting balances and expenditures of development funds. This report is also used to complete the Development Fees Annual Report.	County Executive Office	CL + 7	GC 26202; Audit Support	Shred/Delete
CEO - CEO600	Development Fees Monthly Report - supporting documents (DM/DA)	Records related to developer mitigation or development agreement fees and used to create or support the Development Fees Annual Report. Records series may also include proof of monthly reconciliation and monthly financial reports. These records are tied to the agreement for which the fees are collected and are closed once the funds are spent.	County Executive Office	CL + 7	GC 26202; Audit Support	Shred/Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
CEO - CEO650	Development Fees Monthly Report - supporting documents (DIF)	Records used to create or support the Development Fees Annual Report. Records series may also include proof of monthly reconciliation and monthly financial reports. These records are tied to the developer impact fees. Though a project may close, the fees collected, if not used, are rolled over. Fee collection records must therefore be maintained until all of the fees collected are expended.	County Executive Office	CL + 7	GC 26202; Audit Support	Shred/Delete
National Pollutant Discharge Elimination System (NPDES)						
CEO - CEO700	Benefit Assessment Area Engineering Reports	NPDES Area Engineering Report received or prepared in accordance with the Benefit Assessment Act of 1982. (Also article 13D or the constitution) Records series may include reports for the Santa Ana, Santa Margarita and Whitewater watersheds.	Riverside County Flood Control District	CU + 2	GC 262042	Shred/Delete
CEO - CEO750	Lake Elsinore San Jacinto Watersheds Authority (LESJWA) Operation and Maintenance Agreements	Records supporting agreements made between the County of Riverside and the entities that make up the Lake Elsinore San Jacinto Watersheds Authority (LESJWA). Records series includes agreements signed by various parties including the County, approved Submittals to the Board of Supervisors (Form 11s), operation and maintenance agreements, committee and meeting minutes, correspondence and fiscal documentation.	Riverside County Flood Control District and County Executive Office	CL + 5	GC 26202; LESJWA Agreement & policy	County Archives
CEO - CEO800	National Pollutant Discharge Elimination System (NPDES) - Grant Administration Documents	NPDES grant administration files for San Jacinto River Watershed Improvement Project - Prop 13 Watershed Protection Program	County Executive Office	CL + 35	GC 26202; Prop 13 Amended Grant Agreement # 04-203-558-2	County Archives

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
CEO - CEO850	National Pollutant Discharge Elimination System (NPDES) - Permit Administration Documents	NPDES permit administration records and annual reports that are required by the permit. Records series may include the permit application and supporting materials, the approved permit, correspondence, required annual report and its supporting materials.	Riverside County Flood Control District and County Executive Office	CL + 5	40 CFR 122.41(j)(2)	County Archives
CEO - CEO900	Stormwater Management Plan - Santa Margarita Region	Jurisdictional Urban Runoff Management Plan (JRMP) for the County as required by the Santa Margarita Region Permit.	County Executive Office	CL + 5	Order No. R9-2010-016; GC 26202	County Archives



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	County Executive Office	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	All	Schedule #:
Section:	All	DRRS_CEO_2013_Rev03

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

[Signature]
Name: Sev. Or

County Executive Officer
Title
Date: 4-2-13

Records Management and Archives Program

[Signature]
Name: Tauna Mallis

Assistant Assessor-Clerk-Recorder
Title
Date: 6-19-13

County Archives

[Signature]
Name: Jim Hofer

Archives Manager
Title
Date: 17 JUNE 2013

County Auditor-Controller

[Signature]
Name: Tanya Harris

Chief Accountant, General Accounting
Title
Date: 6/25/13

Riverside County Information Technology

[Signature]
Name: Sebron Partridge

Chief Information Security Officer
Title
Date: 6/13/13

County Counsel

[Signature]
Name: Tawny Lieu

Deputy County Counsel
Title
Date: 6-17-13

County Risk Management

[Signature]
Name: Jim Sessions

Risk Manager
Title
Date: 6-27-13



County of Riverside, California Departmental Records Retention Schedule (DRRS_TRANS_2013_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 Transportation and Land Management Agency, Transportation Department (TRANS) is adopted as per the recommendations of Board Policy A-43 and the DRRS adopted January 10, 2012 as agenda item #3.10.

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.

Explanation of Fields

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

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

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

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

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

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

Explanation of Codes

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

CCP = California Code of Civil Procedure

CFR = Code of Federal Regulations

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

CY = Calendar year end

FY = Fiscal year end

GC = California Government Code

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

P = Permanent



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Transportation Department/ TLMA

Schedule #: **DRRS_TRANS_2013_Rev02**

Division: ALL

Section: ALL

Code		Title	Record Series	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Administration (ADM)								
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
Capital Projects (CAP)							
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 (CADD) 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; Project 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

Code	Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
	Title	Description				
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
TRANS-CAP	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition	
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.	
Construction Inspection (INSP)							
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 1, 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	
Environmental (ENV)							
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
Code	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
TRANS-MAT	Title	Description					
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
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
National Pollution Discharge Elimination System (NPDES)							
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 Program 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 Program Administrator	FY + 5	40 CFR 122.42 (e)(2)	Shred/Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Permit Division (PRMT)						
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
Planning Division (PLAN)						
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		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description	Title	Description				
Special Districts (SD)							
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	P	Best Practice	Dept.	
TRANS-SD 150	Transportation Improvement Program (TIP) - Funding Records	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 (RBBB)	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.
Survey (SUR)							
TRANS-SUR 100	Land Development and Map Checking - Corner Records	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 - Tract/Final Maps	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 Officio Deputy Recorder; Best Practice	Dept.
TRANS-SUR 350	Land Development and Map Checking - Parcel Maps	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 Officio 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.	
Traffic Engineering (TE)							
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 and Signs	(RD Form 164) These are used by staff to order various pavement markings and roadway signs 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 and roadway signs 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 pavement markings and roadway signs.		Traffic Engineering	P	GC 26202; CCP 337.15	Dept.
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	P	GC 26202; Best Practice	Dept.
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	CL + 10	GC26202; Best Practice	Shred/Delete



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Transportation Department / Transportation and Land Management Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	ALL	Schedule #:
Section:	ALL	DRRS_TRANS_2013_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: Juan Perez
 Title: Agency Director
 Date: 4/4/13

Records Management and Archives Program


 Name: Tauna Mallis
 Title: Assistant Assessor-Clerk-Recorder
 Date: 6/19/13

County Archives


 Name: Jim Hofer
 Title: Archives Manager
 Date: 17 JUNE 2013

County Auditor-Controller


 Name: Tanya Harris
 Title: General Accounting Division Chief
 Date: 6/25/13

Riverside County Information Technology


 Name: Sebron Patridge
 Title: Chief Information Security Officer
 Date: 6/17/13

County Counsel


 Name: Tawny Lieu
 Title: Deputy County Counsel
 Date: 6-17-13

County Risk Management


 Name: Jim Sessions
 Title: Risk Manager
 Date: 6-24-13



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_PH-CO_2013_Rev03)**

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 Department of Public Health's Community Outreach Division is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted December 10, 2010 as item #3.4.

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 Community Outreach 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 lawful claim or a lawsuit is made against the county of Riverside, Community Outreach will suspend destruction of the subject records until all issues of the matter are resolved. Further, if Community Outreach is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, Community Outreach will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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

DOH = Department of Health

GC = California Government Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Public Health

Division: Community Outreach

Section: All

Schedule #:

DRRS_PH-CO_2013_Rev03

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
PH-CO-0001	Participant Health Fair Assessments for Blood Pressure or Blood Glucose	Acknowledgement of abnormal blood pressure or glucose reading as determined by a DOH healthcare professional during a community event/activity. This records series pertains to the records of adults only.	DOH Community Outreach	Destroy 7 years after event date	22 CCR 70751	Shred/Delete
PH-CO-0002	Employee Waiver Forms for After Hours or Off-Duty Event Participation	Provides for employee waiver and relinquishment of County of Riverside, its Board of Supervisors, districts, officers and employees, of liability; and acknowledges voluntary participation in specific event/activity unrelated to work duties.	DOH Community Outreach	Destroy 2 years after closed / completed	GC 26202	Shred/Delete
PH-CO-0004	Student Intern Applications	Packet includes personal documents of registered students who are placed with DOH and Environmental Health programs as interns as well as release of liability .	DOH Volunteer Services Office	Destroy 5 years after completion of internship	GC 26202	Shred/Delete



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Public Health	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	Community Outreach	Schedule #:
Section:	ALL	DRRS_PH-CO_2013_Rev03

SIGNATURE PAGE

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

Department Head
Susan D. Harrington
 Name: Susan Harrington Title: Director of Public Health Date: 4/22/13

Records Management and Archives Program
Tauna Mallis
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 6/19/13

County Archives
Jim Hofér
 Name: Jim Hofér Title: Archives Manager Date: 17 June 2013

County Auditor-Controller
Tanya Harris
 Name: Tanya Harris Title: Chief Accountant, General Accounting Date: 6/25/13

Riverside County Information Technology
Sebron Partridge
 Name: Sebron Partridge Title: Chief Information Security Officer Date: 4/17/13

County Counsel
Tawny Lieu
 Name: Tawny Lieu Title: Deputy County Counsel Date: 6-17-13

County Risk Management
Jim Sessions
 Name: Jim Sessions Title: Risk Manager Date: 6/24/13