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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:
November 26, 2013

SUBJECT: Approval of four Departmental Records Retention Schedules and revision of the General Records Retention Schedule [\$0]

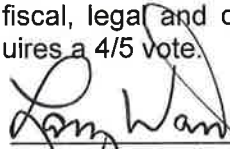
RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached Departmental Records Retention Schedules
2. Approved the attached revised General Records Retention Schedules
3. Direct the Clerk of the Board to amend the list of Board-approved retention schedules contained in Section D.7 of Board Policy A-43 to include these schedules.

BACKGROUND:

Summary

In accordance with the provisions of Board Policy A-43, the Records Management and Archives Program (RMAP) worked with appropriate departments to review the Departmental Records Retention Schedules and General Records Retention Schedule attached. Approval will authorize the disposal of certain records following mandatory retention requirements, thereby enabling the County to reduce the cost of storage for obsolete materials while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met. Per Government Code 26202, this item requires a 4/5 vote.


 Larry W. Ward
 Assessor-County Clerk-Recorder


Departmental Concurrence

APPROVED COUNTY COUNSEL
 BY: 
 TAWNY V. HEU
 DATE: 11/19/13

| FINANCIAL DATA | Current Fiscal Year: | Next Fiscal Year: | Total Cost: | Ongoing Cost: | POLICY/CONSENT (per Exec. Office) |
|---------------------|----------------------|-------------------|-------------|-----------------------|---|
| COST | \$ NA | \$ NA | \$ NA | \$ NA | Consent <input type="checkbox"/> Policy <input checked="" type="checkbox"/> |
| NET COUNTY COST | \$ NA | \$ NA | \$ NA | \$ NA | |
| SOURCE OF FUNDS: NA | | | | Budget Adjustment: No | |
| | | | | For Fiscal Year: NA | |

C.E.O. RECOMMENDATION:

APPROVE

BY: 
 Karen L. Johnson

County Executive Office Signature

MINUTES OF THE BOARD OF SUPERVISORS

- A-30
- Positions Added
- 4/5 Vote
- Change Order

Prev. Agn. Ref.:

District: ALL

Agenda Number:

3-9

Record Retention Schedules Listed by Department

NEW SCHEDULES

Agricultural Commissioner's Office

All sections (Attachment A)

District Attorney's Office

All sections (Attachment B)

Economic Development Agency

Workforce Development Department

All sections (Attachment C)

Public Health

Fiscal

All sections (Attachment D)

REVISED SCHEDULES

General Records Retention Schedule

All departments (Attachment E)

Supersedes the GRRS adopted August 28, 2012, Item #3.20



County of Riverside, California Departmental Records Retention Schedule (DRRS_AGC_2013_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 Agricultural Commissioner's Office (AGC) 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 the Agricultural Commissioner's 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 Agricultural Commissioner's Office will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Agricultural Commissioner's Office is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Agricultural Commissioner's Office will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

the Agricultural Commissioner's 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

CDFA = California Department of Food and Agriculture

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

FAC = California Food and Agriculture Code

GC = California Government Code

P = Permanent

USDA = United States Department of Agriculture

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | |
|---|---|
|  | Department / Agency: Agricultural Commissioner's Office Schedule Type: Departmental Records Retention Schedule |
| Division: All | Schedule #: DRRS_AGC_2013_Rev01 |
| Section: All | |

| Code | Title | Record Series Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------------------------|---|---|------------------------------------|---------------------------|-------------------------------|-------------------|
| Consumer Protection (CP) | | | | | | |
| AGC_CP 100 | Certified Farmers' Market Inspection Reports | Includes written documentation of inspections of Certified Farmers' Markets for compliance with CDFA requirements. | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| AGC_CP 150 | Certified Producer's Certificate | Includes certifications that producer's of commodities sold at a Certified Farmer's market meet specific requirements of the California Food and Agricultural Code. | Agricultural Commissioner's Office | CY + 2 | GC 26202 | Shred / Delete |
| AGC_CP 200 | Certified Farmer's Market Application/Certificate | Includes completed and approved application to conduct business as a Certified Farmer's Market in Riverside County. | Agricultural Commissioner's Office | CY + 2 | GC 26202 | Shred / Delete |
| AGC_CP 250 | Egg Inspection Worksheets | Includes written documentation of inspections of shell eggs performed at production, wholesale and retail locations for compliance with CDFA requirements. | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete |
| AGC_CP 300 | Enforcement Actions | Includes Notices of Non-Compliance, Notices of Violation, Warning Letters, Notices of Violation. | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete |
| AGC-CP350 | Fruit and Vegetable Quality Inspection Reports | Includes written documentation of inspections of fresh fruits and vegetables for compliance with CDFA requirements, disposal orders, interstate permits. | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC-CP400 | Inspection Reports - Organic Program | Includes written documentation of inspections of producers, handlers and processors of products sold as organic for compliance with CDFA requirements. | Agricultural Commissioner's Office | CY + 10 | 7 CFR 205.510(b)(2); GC 26202 | Shred / Delete |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|--|--|---|--|------------------------------------|---------------------------|----------------------------------|-------------------|
| Title | | Description | | | | | |
| AGC_CP 450 | Investigation Reports | Includes completed reports of investigations of violations of the California Food and Agricultural Code related to shell egg inspection, fruit and vegetable standardization and certification, direct marketing and organic farming. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| AGC_CP 500 | Monthly Activity Reports | Includes monthly reports to CDFA documenting hours and activities related to shell egg inspection, fruit and vegetable standardization and certification, direct marketing and organic farming. | | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete |
| AGC_CP 550 | Shell Egg Regulatory Inspection Report | Includes written documentation of inspections of shell eggs performed at production locations for compliance with USDA requirements. | | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete |
| Crop Statistics / County Ordinance (CS) | | | | | | | |
| AGC_CS 100 | Activity Reports | Includes reports submitted to state and federal agencies documenting hours and activities related to local agricultural ordinances. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_CS 150 | Annual Crop Reports | Annual reports of agricultural production and valuation. | | Agricultural Commissioner's Office | P | FAC 2272 and 2279; Best Practice | Dept. |
| AGC_CS 200 | Apiary Registration Records | Includes documents related to the registration of commercial beekeepers in Riverside County | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_CS 250 | Enforcement Actions | Includes Notices of Non-Compliance, Notices of Violation, Warning Letters, Notices of Proposed Action and abatement notices. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| AGC_CS 300 | Inspection Reports | Includes written documentation of inspections performed to assess compliance with state and local laws and regulations pertaining to local agricultural ordinances. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |

| Record Series | | Description | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|--------------------------------------|---|---|--|------------------------------------|---------------------------|----------------------|-------------------|
| Code | Title | | | | | | |
| AGC_CS 350 | Investigation Reports | Includes completed reports of investigations of violations of local agricultural ordinances and documentation of investigative hours subject to cost recovery. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| Environmental Protection (EP) | | | | | | | |
| AGC_EP 100 | Area-wide GWSS Management Program Records | Includes all documents pertaining to regulatory activity in Temecula and the Coachella Valley for the purpose of preventing the spread of Glassy Winged Sharpshooter (GWSS). | | Agricultural Commissioner's Office | CL + 7 | CCP 343; GC 26202 | Shred / Delete |
| AGC_EP 150 | Cotton Plowdown Records | Includes all correspondence, Notices of Non-compliance, Notices of Violation, Warning Letters and Enforcement Actions related to state and local cotton plowdown laws and regulations. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_EP 200 | GWSS Nursery Treatment Program Records | Includes all documents pertaining to the enforcement of state and local laws and regulations in wholesale shipping nurseries for the purpose of preventing the spread of Glassy Winged Sharpshooter (GWSS). | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_EP 250 | Inspection Reports | Includes written documentation of inspections performed to assess compliance with state and local pesticide use laws and regulations. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| AGC_EP 300 | Investigation Reports | Includes completed reports of investigations of violations of state and local laws and regulations pertaining to the use of pesticides and documentation of investigative hours subject to cost recovery. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| AGC_EP 350 | Monthly Activity Reports | Includes monthly reports to the Department of Pesticide Regulation documenting hours and activities related to the enforcement of pesticide use laws and regulations. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_EP 400 | Pest Control Business Registrations | Includes all records related to the registration of businesses that perform pest control in Riverside County. | | Agricultural Commissioner's Office | CY + 2 | GC 26202 | Shred / Delete |
| AGC_EP 450 | Pesticide Use Enforcement Actions | Includes Notices of Non-Compliance, Notices of Violation, Warning Letters, and Notices of Proposed Action. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-----------------------------|--|---|--|------------------------------------|---------------------------|--|-------------------|
| Title | | Description | | | | | |
| AGC_EP 500 | Restricted Materials Permit/Operator Identification Number Records | Includes permits, maps, notices of intent, pesticide use reports and private applicator certifications. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_EP 550 | Training and Outreach | Includes written documentation of pesticide use training and outreach provided by the Agricultural Commissioner's Office to licensees, growers and businesses. | | Agricultural Commissioner's Office | CY + 2 | GC 26202 | Shred / Delete |
| AGC_EP 600 | Weed Management Area Records | Includes all documents related to the administration of CDFA identified Weed Management Areas within Riverside County. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| Pest Prevention (PP) | | | | | | | |
| AGC_PP 100 | Activity Reports | Includes reports submitted to state and federal agencies documenting hours and activities related to pest detection. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 150 | Federal Phytosanitary Certificates | Includes certificates issued for domestic and foreign origin commodities and specified processed products destined for shipment to countries outside the U.S., its territories and possessions. | | Agricultural Commissioner's Office | CY + 3 | USDA Export Certification Manual; GC 26202 | Shred / Delete |
| AGC_PP 200 | State Phytosanitary Certificates | Includes certificates issued for eligible agricultural commodities destined for shipment to other states, territories or possessions of the U.S. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 250 | Quarantine Compliance Certificates | Includes certificates issued for agricultural commodities destined for intrastate or interstate shipment to document compliance with requirements of importing county or state. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 300 | Notices of Rejection | Includes reports of pest interceptions/quarantine violations and final disposition of commodities found in violation of the California Food and Agricultural Code. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 350 | Compliance Agreements | Includes contracts with nurseries and other entities to do specific work to prevent the spread of pest as supported by the California Food and Agricultural Code. | | Agricultural Commissioner's Office | CL + 4 | CCP 337; GC 26202 | Shred / Delete |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|----------------------------------|--|--|--|------------------------------------|---------------------------|----------------------|-------------------|
| Title | | Description | | | | | |
| AGC_PP 400 | Inspection Reports | Includes written documentation of inspections performed to assess compliance with state and local laws and regulations pertaining to pest prevention and eradication. | | Agricultural Commissioner's Office | CL + 4 | GC 26202; CCP 343 | Shred / Delete |
| AGC_PP 450 | Pest Detection Records | Includes all documents related to activities performed to identify and monitor the extent of agricultural pest infestations within Riverside County. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 500 | Nursery Stock Certificates | Includes all documents related to the issuance of certificates to monitor the movement of nursery stock in compliance with the California Food and Agricultural Code. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 550 | Enforcement Actions | Includes Notices of Non-Compliance, Notices of Violation, Warning Letters, and Notices of Proposed Action. | | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete |
| AGC_PP 600 | Post Entry Quarantine Records | Includes hold and release notices for commodities entering Riverside County under state or federal post entry quarantine laws and regulations. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_PP 650 | Investigation Reports | Includes completed reports of investigations of violations of state and local laws and regulations pertaining to pest prevention and documentation of investigative hours subject to cost recovery. | | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete |
| Weights and Measures (WM) | | | | | | | |
| AGC_WM100 | Certificates of Inspection | Includes written documentation of inspections of weighing and measuring devices, petroleum advertising, packaged products, price look up systems, vehicle tanks and weighmaster records for conformance with state and local laws and regulations. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |
| AGC_WM150 | Utility Meter Certificates of Inspection | Includes written documentation of inspections of residential electric, water and hydrocarbon gas meters. | | Agricultural Commissioner's Office | CY + 9 | GC 26202 | Shred / Delete |
| AGC_WM200 | Monthly Activity Reports | Includes monthly reports to CDFA documenting hours and activities related to the enforcement of weights and measures laws and regulations. | | Agricultural Commissioner's Office | CY + 3 | GC 26202 | Shred / Delete |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|------------|---------------------------|--|------------------------------------|----------------|---------------------------|----------------------|-------------------|
| Title | Description | | | | | | |
| AGC_ WM250 | Enforcement Actions | Includes Notices of Non-Compliance, Notices of Violation, Warning Letters, and Notices of Proposed Action. | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete | |
| AGC_ WM300 | Investigation Reports | Includes completed reports of investigations of violations of state and local laws and regulations pertaining to weights and measures and documentation of investigative hours subject to cost recovery. | Agricultural Commissioner's Office | CL + 4 | CCP 343; GC 26202 | Shred / Delete | |
| AGC_ WM350 | Placed in Service Reports | Includes notification from service agents of the installation of new or repaired weighing and measuring devices. | Agricultural Commissioner's Office | CY + 2 | GC 26202 | Shred / Delete | |

| | |
|---|--|
| COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE | |
| Department / Agency: | Agricultural Commissioner's Office |
| Schedule Type: | Departmental Records Retention Schedule (DRRS) |
| Division: | ALL |
| Section: | ALL |
| Schedule #: | DRRS_AGC_2013_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.

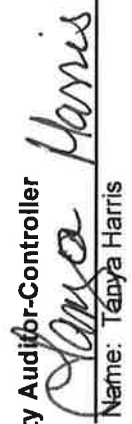
Department Head

 Name: John Snyder
 Title: Agricultural Commissioner
 Date: 11/7/13

Records Management and Archives Program

 Name: Tauna Mallis
 Title: Assistant Assessor-Clerk-Recorder
 Date: 11/18/13

County Archives

 Name: Jim Hofer
 Title: Archives Manager
 Date: 14 Nov 2013

County Auditor-Controller

 Name: Tanya Harris
 Title: Chief Accountant, General Accounting
 Date: 11/19/13

Riverside County Information Technology

 Name: Sebrin Partidge
 Title: Chief Information Security Officer
 Date: 11/14/13

County Counsel

 Name: Tawny Lieu
 Title: Deputy County Counsel
 Date: 11/19/13

County Risk Management

 Name: Jim Sessions
 Title: Risk Manager
 Date: 11/19/13



County of Riverside, California Departmental Records Retention Schedule (DRRS_DAO_2013_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 District Attorney's Office (DAO) 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 DAO 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 DAO will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the DAO is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the DAO will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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 = date of creation

CY = Calendar year end

EC = California Evidence Code

FY = Fiscal year end

GC = California Government Code

P = Permanent

PC = California Penal Code

T = Termination (of employment)

USC = United States Code

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| Department / Agency: District Attorney's Office | | Schedule Type: Departmental Records Retention Schedule | |
|---|--|--|--|
| Division: All Divisions | | Schedule #: | |
| Section: All Sections | | DRRS_DAO_2013_Rev01 | |
| Record Series | | | |
| Code | Title | Description | Final Disposition |
| Accounting (ACC) | | | |
| DAO_ACC100 | California Witness Relocation Assistance Program | Records related to witness relocation. May include program application, witness advisement, CallWrap agreement, communication records, rental agreements, copies of investigator timesheets, invoices, receipts, payments, claims, and program questionnaire | GC 26202; Best Practice Shred / Delete |
| Asset Forfeiture (ASF) | | | |
| DAO_ASF100 | Administrative Asset Forfeitures | Records related to administrative asset forfeitures. Records series may include police reports, proofs of services, criminal case prints, publications and letters to agencies. | Best Practice Dept. |
| DAO_ASF200 | Judicial Asset Forfeitures | Records related to judicial asset forfeitures. Records series may include police reports, proof of services, claims, discovery and criminal case prints, publications, court orders, letters to agencies, minutes, and distribution. | GC 26202; Best Practice Shred/Delete |
| DAO_ASF300 | Wiretap Files | Records related to the request and administration of wiretap. Records series may include the application packet, court orders, six day reports, sealing orders, inventory postponements and the inventory packet. | PC 629.64 Shred/Delete |
| Bureau of Investigation (INV) | | | |
| DAO_INV100 | Confidential Informant Files | Records relating to confidential informants for the department. | GC 26202; Best Practice Shred / Delete |
| DAO_INV150 | Criminal History Check (CII) Logs | Logs documenting the case information for the name being ran by DAO employee. May include name, date of birth, case number, and name of person making the request. | 11 CCR 707(c); GC 26202; Best Practice Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|----------------|---|---|----------------------------|---------------------------|--|-------------------|
| Code | Title | | | | | |
| DAO_INV 200 | Fictitious License Request | Information such as Driver's License or notarized social security number received for under cover operations. | District Attorney's Office | T + 75 | GC 26202; Best Practice | Shred / Delete |
| DAO_INV 250 | Initial Crime Reports (DAR) - felony | DAR Crime Reports for specific crimes such as homicide, manslaughter and sex cases. Also includes kidnapping cases where victim is not recovered. May include initial and supplemental police/ investigator reports, complaint assignment form and filing decision from reviewing deputy district attorney. | District Attorney's Office | P | PC 799; Best Practice | Dept. |
| DAO_INV 300 | Initial Crime Reports (DAR) | DAR Crime Reports for all other crime types that do not include the above specified crime types. May include initial and supplemental police / investigator reports, complaint assignment form and filing decision from reviewing deputy district attorney. | District Attorney's Office | CL + 10 | PC11105.03(b)(4); GC 26202; Best Practice | Shred / Delete |
| DAO_INV 350 | Initial Crime Reports (DAR) - Sex Offender Registration | DAR Crime Reports for all sex offender registration crimes (290 PC). May include initial and supplemental police /investigator reports, complaint assignment form, and filing decision from reviewing deputy district attorney. | District Attorney's Office | CL + 75 | PC 290.08 | Shred / Delete |
| DAO_INV 400 | Initial Crime Reports (DAR) - Juvenile | DAR Crime Reports for minor suspects. May include police / investigator reports, and other documents / discovery obtained during the investigation. | District Attorney's Office | CL + 10 | GC 26202; Best Practice | Shred / Delete |
| DAO_INV 450 | Internal Affairs - sustained | Records related to the internal investigation of personnel (sworn and non-sworn). Records series includes investigation reports and supporting materials. | District Attorney's Office | CL + 5 | EC 1045(b)(1); PC 832.5(b); AG Opinion 99-1111; GC 26202 | Shred/Delete |
| DAO_INV 500 | Internal Affairs - not sustained | Records related to the internal investigation of personnel (sworn and non-sworn). Records series includes investigation reports and supporting materials. | District Attorney's Office | CL + 2 | GC 26202 | Shred/Delete |
| DAO_INV 550 | Monthly Reports | Senior Investigator unit statistical reports for the month. May include stats from the DAMION database and hand counted stats. | District Attorney's Office | CY + 2 | GC 26202 | Shred / Delete |
| DAO_INV 600 | Public Integrity Reports | Confidential investigation reports on public / high profile suspects. May include police / investigator reports and other documents / discovery obtained during the investigation. | District Attorney's Office | CL + 10 | GC 26202; Best Practice | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------------------|--------------------------------------|---|----------------------------|---------------------------|-------------------------|-------------------|
| Code | Title | | | | | |
| DAO_INV 650 | Rehab & Pardon Files | Request from petitioner to clear record. These files may include the petitioner's report filed with court and the proof of service. | District Attorney's Office | CL + 10 | GC 26202; Best Practice | Shred / Delete |
| DAO_INV 700 | Security Checks | Mini background check for volunteers and interns. May include investigator check list, personal history statement; live scan results, local checks, CLETS / DMV printouts; Investigator's memo. | District Attorney's Office | CY + 3 | GC 26202; Best Practice | Shred / Delete |
| DAO_INV 750 | Special Investigations | Investigation reports on cases when the DA Bureau is called to assist outside agencies. May include investigation reports and other discovery obtained during the course of the investigation. | District Attorney's Office | CL + 5 | GC 26202; Best Practice | Shred / Delete |
| Case Support (CSP) | | | | | | |
| DAO_CSP100 | Analysis Results | DOJ & Biotox results of blood and/or drug analysis. Records may include suspect's name, case information and results of test. | District Attorney's Office | CY + 5 | GC26202; Best Practice | Shred/Delete |
| DAO_CSP150 | Child Recovery Unit - Attorney Files | Records relating to the prosecution of Child Recovery cases. May include packet questionnaire, court imaged documents, attorney notes, and investigation reports. | District Attorney's Office | CL + 35 | GC 26202; Best Practice | Shred / Delete |
| DAO_CSP200 | Civil Cases | Records Related to Civil matters. Records may include the investigative agency report, transcripts, discovery, photos, audio / video recording, court documents, and notes. | District Attorney's Office | CL + 10 | GC 26202; Best Practice | Shred/Delete |
| DAO_CSP250 | Civil Judgments | Records relating to the final determination on civil matters between parties. Records may include the judgment signed by the judge, and the stipulation by the DAO. | District Attorney's Office | P | Best Practice | Dept. |
| DAO_CSP300 | Complaint Assignment Forms | This record series includes complaint forms submitted by law enforcement agencies when requesting criminal charges be filed. | District Attorney's Office | CY + 2 | GC26202; Case support | Shred/Delete |
| DAO_CSP350 | Consumer Complaints | Complaints submitted to the DAO from the public. Records may include original complaint and reviewing Deputy District Attorney's recommendation | District Attorney's Office | CL + 5 | GC26202; Best Practice | Shred/Delete |
| DAO_CSP400 | Expungements (1203.4 PC) | Motion to expunge record from defendant's background. May include the request and DA Office Recommendation. | District Attorney's Office | CY + 2 | GC 26202 | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|--|--|----------------------------|---------------------------|-------------------------|-------------------|
| Code | Title | | | | | |
| DAO_CSP450 | Factual Innocence Files | Records relating to identify of the true defendant. Records may include letters sent to necessary agencies and interested parties from DAO. Background information and DMV print outs proving who the true defendant is. | District Attorney's Office | CL + 10 | GC 26202; Best Practice | Shred/Delete |
| DAO_CSP500 | Felony Files - Death or Life Sentence | Records related to the investigation and prosecution of criminal felony cases resulting in a sentence of death or life in prison. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process. | District Attorney's Office | P | PC 799; Best Practice | Dept. |
| DAO_CSP550 | Felony Files - Determinate or Probation Sentence | Records related to the investigation and prosecution of criminal felony cases resulting in a determinate or probation sentence. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process. | District Attorney's Office | CL + 35 | GC 26202; Best Practice | Shred/Delete |
| DAO_CSP600 | Firearm Files | Records related to the petitioner's request to own and/or possess a firearm. Records may include police reports, Department of Justice reports, discovery, the petitioner's medical records, court processing documents and court orders. | District Attorney's Office | CL + 10 | GC 26202; Best Practice | Shred/Delete |
| DAO_CSP650 | Inmate Prosecution Demands (1381 PC Demands) | This records series may include documentation and correspondence from inmates requesting prosecution on pending Riverside County cases. | District Attorney's Office | CY + 2 | GC 26202 | Shred/Delete |
| DAO_CSP700 | Lifer Capsules | Records related to defendant's Life Sentence. May include 1203.01 PC, Victims Next of Kin (VNOK) Worksheet, Impact Statement, Information, Probation Report, Autopsy Protocol, Transcripts of defendant, All Reports, Photos, Priors, Juvenile Priors, Preliminary Hearing Transcript & Memo, Opinion, Case Print of Sentence/charges | District Attorney's Office | P | Best Practice | Dept. |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-----------------------|---------------------------------|---|----------------------------|---------------------------|-------------------------|-------------------|
| Code | Title | | | | | |
| DAO_CSP750 | Misdemeanor Files | Records related to the investigation and prosecution of a defendant with an offense involving driving under the influence, domestic violence, child abuse, elder abuse or gang involvement. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process. | District Attorney's Office | CL + 15 | GC 26202; Best Practice | Shred/Delete |
| DAO_CSP800 | Misdemeanor Files - Other | Records related to the investigation and prosecution of a defendant with an misdemeanor offense unrelated to those given under Misdemeanor Files above. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process. | District Attorney's Office | CL + 5 | GC 26202; Best Practice | Shred/Delete |
| DAO_CSP850 | Sex Offender Registration Files | Records related to the investigation and/or prosecution of felony or misdemeanor criminal offenses where the defendant is required to register pursuant to section 290 of the California Penal Code. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process. | District Attorney's Office | CL + 75 | PC 290.08 | Shred/Delete |
| DAO_CSP900 | Suspect Fraudulent Claims | FD-1 Forms submitted to the DAO from the public. Records may include original claim form and reviewing Deputy District Attorney's recommendation. | District Attorney's Office | CL + 5 | GC26202; Best Practice | Shred/Delete |
| Training (TRG) | | | | | | |
| DAO_TRG100 | Instructor Evaluation Forms | Record documenting how the instructor performed the training. Record may include the instructors information, the thoughts and opinions of the audience | District Attorney's Office | CY + 2 | GC 26202; Best Practice | Shred/Delete |
| DAO_TRG200 | Reference Materials | Records pertaining to various trainings given by department. May include the MS Power Point, samples, and other materials provided by the instructor, and publications from Riverside County District Attorney Association (RCDAAA). | District Attorney's Office | REV + 2 | GC 26202; Best Practice | Shred/Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|----------------------------------|---|--|----------------------------|---------------------------|----------------------------|-------------------|
| Code | Title | | | | | |
| DAO_ TRG300 | Training Attendance Sign In Sheets | Records documenting who attended the specified training (Minimum Continuing Legal Education (MCLE) credits obtained) Records may include attendees name & bar number (if applicable). | District Attorney's Office | CY + 4 | GC 26202; Best Practice | Shred/Delete |
| DAO_ TRG350 | Training Video | Video of trainings given by department. May include actual video footage of instructor giving the training. | District Attorney's Office | CY + 2 | GC 26202; Best Practice | Shred/Delete |
| Writs & Appeals (WRA) | | | | | | |
| DAO_ WRA100 | Appellate Felony Files (Death / Life Sentence) | Records related to the appeal on a Death or Life Sentenced case. File may contain: Commitment Judgment Death; Clerk's Transcription on Appeal; Reporter's Transcript on Appeal; Extensions of Time; Appellant's Opening Brief; Respondent's Brief; Appellant's Reply Brief; Court of Appeal Opinion; Petition for Rehearing; Petition for Review; Answer Petition For Review; Briefs on the Merits; Remittitur; Writ of Certiorari; Writ of Habeas Corpus; Response Writ of HC; Reply (Traverse) Writ of HC; Orders; and Extensions of Time; Letters and/or Transportation Orders. | District Attorney's Office | P | Best Practice | Dept. |
| DAO_ WRA150 | Appellate Felony Files (Determinate / Probation Sentence) | Records related to the appeal for cases with a determinate or probation sentence. Files that may contain: Notice of Appeal; Clerk's Transcript on Appeal; Reporter's Transcript on Appeal; Extensions of Time; Appellant's Opening Brief; Respondent's Brief; Appellant's Reply Brief; Court of Appeal Opinion; Petition for Rehearing; Petition for Review; Answer Petition For Review; Briefs on the Merits; Remittitur; Letters and/or Transportation Order (included only when judgment is Reversed or Remanded). | District Attorney's Office | CL + 35 | GC 26202; Best Practice | Shred/Delete |
| DAO_ WRA200 | Appellate Misdemeanor Files | Records related to the appeal for cases with a Misdemeanor conviction. File may contain: Notice of Appeal; Clerk's Transcript on Appeal; Reporter's Transcript on Appeal; Extensions of Time; Appellant's Opening Brief; Respondent's Brief; Appellant's Reply Brief; Opinion; Remittitur; and Letters to trial deputy that case was affirmed, remanded, or reversed for retrial. | District Attorney's Office | CL + 3 | GC 26202; Best Practice | Shred/Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|----------------|--|---|----------------------------|---------------------------|----------------------------|-------------------|
| Code | Title | | | | | |
| DAO_ WRA250 | Public Records Request - correspondence | Requests for records to the state government. May include disclosed records and correspondence. | District Attorney's Office | P | Best Practice | Dept. |
| DAO_ WRA300 | Sex Offender Registration Files | Records related to the sex offender registration Writ or Appeal. Files may include police reports, investigation reports, photos, transcripts, discovery, court documents, and notes. | District Attorney's Office | CL + 75 | PC 290.08 | Shred/Delete |
| DAO_ WRA350 | Subpoena Dues Tecum correspondence | Records relating to demand of documents to be produced in court. May include disclosed records and correspondence. | District Attorney's Office | P | Best Practice | Dept. |
| DAO_ WRA400 | Traffic Cases - Correspondence | This records series may include correspondence or documents from and to defendants in traffic cases. | District Attorney's Office | CL + 2 | GC 26202; Best Practice | Shred/Delete |
| DAO_ WRA450 | Writ Felony Files (Death / Life Sentence) | Records related to the writ on a Death or Life sentenced case. File may contain Writ of Mandate / Prohibition; Writ of Habeas Corpus; Writ of Error Coram Nobis; and Writ of Error Coram Vobis. | District Attorney's Office | P | Best Practice | Dept. |
| DAO_ WRA500 | Writ Felony Files (Determinate / Probation Sentence) | Records related to the writ for cases with a determinate or probation sentence. Files may contain: Writ of Mandate / Prohibition; Writ of Habeas Corpus; Writ of Error Coram Nobis; and Writ of Error Coram Vobis | District Attorney's Office | CL + 35 | GC 26202; Best Practice | Shred/Delete |
| DAO_ WRA550 | Writ Misdemeanor Files | Records related to the writ for cases with a Misdemeanor conviction. File may contain: Writ Petition; Writ Response; Traverse or Reply; Orders; Extension of Time; Peremptory / Alternative Writ; and Remittitur. | District Attorney's Office | CL + 3 | GC 26202; Best Practice | Shred/Delete |

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE



| | |
|--|--|
| Department / Agency: <u>District Attorney's Office</u> | Schedule Type: <u>Departmental Records Retention Schedule (DRRS)</u> |
| Division: <u>ALL</u> | Schedule #: <u>DRRS_DAO_2013_Rev01</u> |
| Section: <u>ALL</u> | |

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
Paul E. Zoller
 Name: Paul Zellerbach
 Title: District Attorney
 Date: 11/7/13

Records Management and Archives Program
Tauna Mallis
 Name: Tauna Mallis
 Title: Assistant Assessor-Clerk-Recorder
 Date: 11/19/13

County Archives
Jim Hofer
 Name: Jim Hofer
 Title: Archives Manager
 Date: 14 Nov 2013

County Auditor-Controller
Tanya Harris
 Name: Tanya Harris
 Title: Chief Accountant, General Accounting
 Date: 11/19/13

Riverside County Information Technology
Sebron Partidge
 Name: Sebron Partidge
 Title: Chief Information Security Officer
 Date: 11/14/13

County Counsel
Tawny Lieu
 Name: Tawny Lieu
 Title: Deputy County Counsel
 Date: 11/19/13

County Risk Management
Jim Sessions
 Name: Jim Sessions
 Title: Risk Manager
 Date: 11/19/13



County of Riverside, California Departmental Records Retention Schedule (DRRS_EDA-WDD_2013_Rev01)

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

Inquiries or comments regarding this schedule should be directed to:

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

Introduction

This Departmental Records Retention Schedule (DRRS) for the Economic Development Agency's Workforce Development Department (WDD) 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 WDD 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, WDD will suspend destruction of the subject records until all issues of the matter are resolved. Further, if WDD is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the WDD will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

P = Permanent

WIA = Workforce Investment Act

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.

FY = Fiscal year end



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| Department / Agency: Workforce Development / Economic Development Agency | | Schedule Type: Departmental Records Retention Schedule | | | | | |
|--|---|--|--|-----------------------|---------------------------|--|-------------------|
| Division: All | | Schedule #: | | | | | |
| Section: All | | DRRS_EDA-WDD_2013_Rev01 | | | | | |
| Code | Title | Record Series | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
| EDA-WDD 100 | Contracts | Adult and Youth-Contracts | Adult and Youth-Contracts are sub-recipients of EDA awarded WIA funds. Records series may include budgets, expenditure plans, performance plans, scope of work and project exhibits. | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete |
| EDA-WDD 150 | Department of Labor Reports- quarterly | Narrative and performance reports submitted to the Department of Labor on a quarterly basis. | | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete |
| EDA-WDD 200 | Equal Opportunity Records | Records documenting equal opportunity for employment. Records series may include biennial assessments, complaints and logs, correspondence, etc. | | Workforce Development | CL + 7 | 29 CFR 97.42 29 CFR 37.39; Best Practice | Shred / Delete |
| EDA-WDD 250 | Jurupa Valley Internship Program - case files | Jurupa Valley Internship case files. Records series may include copies of enrollees' identification, such as a driver's license or social security card, agreements and placement records. | | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete |
| EDA-WDD 300 | Memorandum of Understanding (MOU) | Agreements with mandatory partners defined by the Workforce Investment Act of 1998. Records series may include any attachments, resource sharing agreements and budgets. | | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete |
| EDA-WDD 350 | Monitoring | Adult and Youth-Compliance Records-Monitoring program activities in compliance with WIA regulations and contract requirements. Records series may include summary reports, correspondence, documents supporting contract requirements review, etc. | | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-------------|---------------------------------------|---|-----------------------|----------------|--|----------------------|-------------------|
| Title | | Description | | | | | |
| EDA-WDD 400 | On-the-Job-Training (OJT) | Adult and Youth-On-the-Job Training contracts subsidized by WIA up to 50% or more in wages during on the job training for a period of 4 to 8 weeks. Records series may include contracts with the employer, participant evaluations from employer, and placement information. | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete | |
| EDA-WDD 450 | Procurement | Adult/Youth-Procurement conducted for one or three-year period based on availability of WIA funds and needs of the agency. Records series may include RFP timeline, advertising, scoring criteria, etc. | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete | |
| EDA-WDD 500 | Program Files | Youth/Adult Participant Files-Eligibility documents for WIA. Records series may include documentation of application, enrollment, test scores, exit paperwork, identification and verification documents, etc. | Workforce Development | CL + 7 | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Shred / Delete | |
| EDA-WDD 550 | Workforce Investment Board Local Plan | Workforce Investment Board's Strategic Workforce Development Plan. Records series may include plan narrative, attachments, exhibits and approvals. | Workforce Development | P | 29 CFR 97.42(b); 29 CFR 97.42 (c); Best Practice | Dept. | |



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | | |
|----------------------|---|---|
| Department / Agency: | Workforce Development / Economic Development Agency | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: | ALL | Schedule #: |
| Section: | ALL | DRRS_EDA-WDD_2013_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: Rob Field Title: Asst. County Executive Officer / EDA Date:

Records Management and Archives Program

Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 11/18/13

County Archives

Name: Jim Hofer Title: Archives Manager Date: 14 Nov 2013

County Auditor/Controller

Name: Tanya Haynis Title: Chief Accountant, General Accounting Date: 11/19/13

Riverside County Information Technology

Name: Sekron Partidge Title: Chief Information Security Officer Date: 11/14/13

County Counsel

Name: Tawny Lieu Title: Deputy County Counsel Date: 11/19/13

County Risk Management

Name: Jim Sessions Title: Risk Manager Date: 11/19/13



County of Riverside, California Departmental Records Retention Schedule (DRRS_PH-FCL_2013_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 Public Health's Fiscal Division (PH-FCL) 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 PH-FCL 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, PH-FCL will suspend destruction of the subject records until all issues of the matter are resolved. Further, if PH-FCL is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, PH-FCL will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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.



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Public Health

Division: Fiscal

Section: All

Schedule #:

DRRS_PH-FCL_2013_Rev01

| Code | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|-----------------------------|--|---------------------------|--|---------------------------------|-------------------|
| | Title | Description | | | | |
| PH-FCL 100 | Accounts Payable | Records documenting payment required to be made for goods and services. May include claims, credit card transactions, invoices, petty cash records, refunds, vouchers and warrants. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete |
| PH-FCL 150 | Accounts Receivable | Records documenting payment received for goods and services provided by the county. May include collection notices & records, credit advices, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete |
| PH-FCL 200 | Banking | Records documenting transactions with an outside financing institution. May include statements, reconciliations, deposit slips, canceled checks for minor transactions, negotiated checks, returned checks, and check registers. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete |
| PH-FCL 250 | Budgets - supporting papers | Departmental reference copies of the approved County budget as well as the work papers used to compile the annual budget request. Maintained as audit support. May include submissions and appeals in addition to budget manuals, spreadsheets, statistics, County Auditor Controller directives, other data accumulated in the budget development, submission and presentation process. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|-------------------------------------|---|------------------------|--|---------------------------------|----------------------|-------------------|
| | Title | Description | | | | | |
| PH-FCL 300 | Contracts / Agreements - government | The binding agreement between a County department and another government agency to provide goods or services. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, procurement documentation, and salary administration. May also include working files if they relate to negotiations or changes. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete | |
| PH-FCL 350 | Correspondence - program | Correspondence issued from or received by a department that documents specific program activity, which is not historical or policy in nature. Records may include correspondence, subject records, memoranda (memos), notes, and facsimiles. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete | |
| PH-FCL 400 | Financial reports - annual | Financial reports produced for a single fiscal year in order to monitor spending, workflow, performance measures and other department operations. May include monthly revenue & expenditure reports, annual fixed asset ledgers, and appropriation transfers. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete | |
| PH-FCL 450 | Grants | Records related to the application, award, implementation and conclusion of a grant. All records including those related to the receipt and dispersal of grants funds, contract and reports. Grant records should be maintained together. Records may include the proposal document, correspondence, activity summary reports, financial and performance reports, memos, notes, invoices, billings, expense reports, completion check-off form, audit results, etc. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete | |

| Code | | Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|----------------------------|--|---------------------------|--|---------------------------|----------------------|-------------------|
| Title | Description | Copy of Record | Official Record Retention | | | | |
| PH-FCL 500 | Time Cards and Time Sheets | Record and verification of the time worked by each employee for purposes of issuing salary warrants. Includes documentation supporting work schedules and shift/crew assignments as well as authorization for overtime. May include employee name, employee number, days and hours worked, vacation, sick or compensatory time used by employees or similar records noting exceptions to normal work hours and often including the department head or supervisor approval. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete | |
| PH-FCL 550 | Transaction Summaries | Journals, registers, and subsidiary ledgers dedicated to individual funds or functions. May include accounts payable & receivable, expenditures, investments, properties and revenue, cash disbursements, cash receipts, vouchers and warrants. | Public Health - Fiscal | Close of Contract or Last Audit + 10, whichever is later | 42 CFR 422.504(i)(2) (ii) | Shred / Delete | |



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | | |
|----------------------|---------------|---|
| Department / Agency: | Public Health | Schedule Type: Departmental Records Retention Schedule (DRRS) |
| Division: | Fiscal | Schedule #: |
| Section: | All | DRRS_PH-FCL_2013_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: Susan D. Harrington Director Title
Susan D. Harrington 11/12/13 Date

Records Management and Archives Program
 Name: Tauna Mallis Assistant Assessor-Clerk-Recorder Title
Tauna J. Mallis 11/18/13 Date

County Archives
 Name: Jim Hoyer Archives Manager Title
Jim Hoyer 14 Nov 2013 Date

County Auditor-Controller
 Name: Tanya Harris Chief Accountant, General Accounting Title
Tanya Harris 11/19/13 Date

Riverside County Information Technology
 Name: Sebron Partidge Chief Information Security Officer Title
Sebron Partidge 11/14/13 Date

County Counsel
 Name: Tawny Lieu Deputy County Counsel Title
Tawny Lieu 11/19/13 Date

County Risk Management
 Name: Jim Sessions Risk Manager Title
Jim Sessions 11/19/13 Date



County of Riverside, California General Records Retention Schedule (GRRS_2013_Rev08)

Attachment E

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)
P.O. Box 751
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Countywide General Records Retention Schedule (GRRS) is adopted as per the recommendations of Board Policy A-43 and supersedes the General Records Retention Schedule (GRRS_2012_Rev07) adopted on August 28, 2012 as agenda item #3.20.

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 a County agency before disposition may be implemented. These retention requirements are recommended as the appropriate maximum retention period enabling the County 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 departmental 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 a 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 department will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the department is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the department will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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

Records Series Title: The Records 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.

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

Copy of Record: The copy of the record is the official copy. The schedule indicates the office or department responsible for maintaining this official copy for the retention period indicated. This copy must be maintained in an accessible and readable format.

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

AU = After Audit is settled

CFR = Code of Federal Regulations

FY = Fiscal year end

Audit Support = Records are not required by statute or regulation to be held for the period indicated, but should be maintained to support records submitted in support of the County's internal or external auditing procedures.

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

GC = California Government Code

P = Permanent

PC = California Penal Code

AV = Retained as long as Administratively Valuable

CR = Creation (of the record) date

R & TC = California Revenue and Tax Code

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

CU = Current

REV = (Until) Revised or superseded

CY = Calendar year end

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

CCP = California Code of Civil Procedure

EPPA = Employee Polygraph Protection Act (1988)

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE



Department / Agency: All Departments

Schedule Type: General Records Retention Schedule (GRRS)

Division: All Divisions

Schedule #:

Section: All Sections

GRRS_2013_REV08

| Record Series | | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition | |
|-------------------------|--------------------------|---|----------------------------|-----------------------|-------------------------------------|-----------------|
| Code | Title | Description | | | | |
| Accounting (ACC) | | | | | | |
| ACC100 | Accounts Payable | Records documenting payment required to be made for goods and services. May include claims, credit card transactions, invoices, petty cash records, refunds, vouchers and warrants. | Auditor Controller & Dept. | FY + 7 | GC 26907; Audit Support | Shred / Delete |
| ACC150 | Accounts Receivable | Records documenting payment received for goods and services provided by the county. May include collection notices & records, credit advices, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets. | Auditor Controller & Dept. | FY + 7 | GC 26907; Audit Support | Shred / Delete |
| ACC200 | Banking | Records documenting transactions with an outside financing institution. May include statements, reconciliations, deposit slips, canceled checks for minor transactions, negotiated checks, returned checks, and check registers. | Auditor Controller & Dept. | FY + 7 | GC 26907; Audit Support | Shred / Delete |
| ACC250 | Capital (Fixed) Assets | Records related to the financial activities associated with capital (fixed) assets. May include inventories, material transfer files (surplus forms) and sale records. | Auditor Controller & Dept. | Disposal of Asset + 7 | GC 24051(b); Best Practice | Shred / Delete |
| ACC300 | General Ledger | Contains the accounts needed to reflect the financial position of the government. | Auditor Controller & Dept. | P | Best Practice | County Archives |
| ACC325 | Official County Receipts | Official receipts issued to departments by the Auditor-Controller's Office. | Auditor Controller & Dept. | FY + 7 | GC 26907.2; GC 27001; Best Practice | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|-----------------------------|---|--|----------------------------|---------------------------|--|----------------------------|
| Code | Title | | | | | |
| ACC350 | Payroll | Records created to track the payroll of department employees. Records indicate anniversary dates, vacation and sick leave accumulations, hours worked, labor and overhead distribution reports and PEOPLESOFT reports. | Auditor Controller & Dept. | T + 75 | Audit support; see also 29 CFR 516.5(a) | Shred / Delete |
| ACC400 | Payroll - garnishments | Records related to garnishments from a County employees pay. May include accounting documents and orders. | Auditor Controller & Dept. | T + 75 | Audit support; see also 29 CFR 516.6(c); Best Practice | Shred / Delete |
| ACC450 | Transaction Summaries | Journals, registers, and subsidiary ledgers dedicated to individual funds or functions. May include accounts payable & receivable, expenditures, investments, properties and revenue, cash disbursements, cash receipts, vouchers and warrants. | Auditor Controller & Dept. | FY + 7 | GC 26907; Audit Support | Shred / Delete |
| Administration (ADM) | | | | | | |
| ADM100 | Annual Reports - official copy | The official yearly report made by a department or agency at the close of the fiscal year stating the department's assets and liabilities and providing an overview of the department's services and programs. Typically submitted to the Board of Supervisors using a submittal Form 11 (see entry for Submittal to the Board of Supervisors below) thereby making it part of the minutes for the meeting at which it is presented. | Dept. | P | Best Practice | County Archives (3 copies) |
| ADM125 | Annual Reports - work papers | Working papers used to develop the department's annual report. | Dept. | CY + 2 | GC 26202 | Shred / Delete |
| ADM150 | Audit Reports - Management | Any audit of a department's or agency's managerial operations that is ordered by the Board of Supervisors or Executive Office. | Dept. | P | Best Practice | County Archives |
| ADM155 | Authorization to Drive County Vehicle or Private Vehicle on County Business (Form 30) | Form signed by each County employee authorizing them to drive County or personal vehicles on County business. Department is to maintain one copy while the original is forwarded to County Human Resources Safety Division. | County Human Resources | CY + 5 | 8 CCR 3203(b)(2) | Shred / Delete |

| Record Series | | Code | Title | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|---|------|---|---|--|---|-------------------------------|-------------------|
| | | | | | | | | |
| ADM175 | Boards and Commissions | | Record of items submitted to and decisions made by the Board of Supervisors as well as governing bodies and commissions subject to the provisions of the Brown Act. May include meeting agendas, minutes, exhibits, and staff reports as relevant to the outcome of the proceedings. May include ordinances and resolutions. Should also include lists of names of members of official Boards, Committees, and Commissions. | Clerk of the Board, subject body or supporting County department. | P | GC 25102 et seq; GC 54950 et seq; Board of Supervisors' Policy A-21 | Clerk of the Board (GC 25104) | |
| ADM200 | Conflict of Interest Statement - Department Head | | Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 and its amendments related to the economic interests of County representatives. | Clerk of the Board | Original (COB) = CY + 7; Copy (Dept) = CY + 4 | GC 81009(e); GC 81009(f) | Shred / Delete | |
| ADM205 | Conflict of Interest Statement - Designated Employees | | Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 and its amendments related to the economic interests of County employees as designated by resolution of the County Board of Supervisors. | Dept. | Original = CY + 7; Copy = CY + 4 | GC 81009(e); GC 81009(f) | Shred / Delete | |
| ADM210 | Conflict of Interest Statement - Elected Official | | Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 (Section 87200) and its amendments related to the economic interests of County elected officials. | County Clerk | Original (State) = CY + 7; Copy (Clerk) = CY + 4 | GC 81009(e); GC 81009(f) | Shred / Delete | |
| ADM275 | Correspondence - general | | Routine correspondence issued from or received by a department that requires no further action. Records may include correspondence, memoranda (memos), notes, and acknowledgements. | Dept. | CY + 2 | GC 26202 | Shred / Delete | |
| ADM300 | Correspondence - program | | Correspondence issued from or received by a department that documents specific program activity, which is not historical or policy in nature. Records may include correspondence, subject records, memoranda (memos), notes, and facsimiles. | Dept. | CL + 2 | GC 26202 | Shred / Delete | |
| ADM310 | Correspondence - public complaints | | Correspondence issued from or received by a department that relates to a concern or complaint of the public. Records series may include correspondence, related memoranda and notes. | Dept. | CL + 2 | GC 26202 | Shred / Delete | |

| Record Series | | Code | Title | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|---|------|---|---|----------------|---|--------------------------|-------------------|
| | | | | | | | | |
| ADM325 | Correspondence - public policy | | Records that document and support the implementation of a particular policy or program such as land development, changes to County Code, procedure or organization, new taxes, etc. | Dept. | P | Best Practice | County Archives | |
| ADM350 | Daily Activity Reports (DARs) | | Reports of employee time use in relation to specific tasks or projects. Often prepared in support of daily operations and appropriations. For example, may be used as a basis for billing department or agencies or for general planning purposes. | Dept. | FY + 7 | GC 26202; Audit Support | Shred / Delete | |
| ADM375 | Grand Jury Reports - official copy | | The official report issued by and responses to a County grand jury completed after studying the operations of any public agency subject to its reviewing authority. The County Clerk holds the Copy of Record with another copy provided to the State Archivist both of which are held permanently. | County Clerk | P | PC 933(b-c) | County Clerk (PC 933(b)) | |
| ADM400 | Grand Jury Reports - work papers | | Departmental copies of reports issued by and responses to the County grand jury completed after studying the operations of any public agency subject to its reviewing authority. Departmental copies may not be held longer than the copy on file with the currently impaneled grand jury, which has a mandated retention of at least five years. | Dept. | CY + 5 | PC 933(c) | County Archives | |
| ADM425 | Grants | | Records related to the application, award, implementation and conclusion of a grant. All records including those related to the receipt and dispersal of grants funds, contract and reports. Grant records should be maintained together. Records may include the proposal document, correspondence, activity summary reports, financial and performance reports, memos, notes, invoices, billings, expense reports, completion check-off form, audit results, etc. | Dept. | CL + 7 | 49 CFR 18.42(b); audit support and as required by the terms of the grant; Best Practice | Shred / Delete | |
| ADM450 | Policy & Procedure - Boards and Commissions | | Records documenting the policies and procedures approved for the County's Board of Supervisors and various committees and commissions. May include final policy, policy statements, by-laws and procedure manuals. | Clerk of the Board, subject body or supporting County department. | P | Best Practice | County Archives | |

| Record Series | | Code | Title | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|-----------------------------------|---|---|--|-------------------------|---------------------------|----------------------|-------------------|
| | | | | | | | | |
| ADM475 | Policy & Procedure - departmental | Records documenting departmental policy and procedure. May include final policy, policy statements, procedure manual. May also include mission statements and organizational charts. | Dept. | REV + 3 | GC 26202; Best Practice | County Archives | | |
| ADM480 | Policy & Procedure - program | Records documenting the policies and procedures governing the operations of Countywide public and/or County employee programs. May include final policy, policy statements, by-laws, and procedure manuals. | Dept. responsible for implementing | REV + 3 | GC 26202; Best Practice | County Archives | | |
| ADM500 | Public Information / Media | Records created for distribution announcing matters related to county business or administrative operations. May include press releases, newsletters, slides, negatives, video, photographs, etc. Photographic (image) records should include full identification (dates, names, places and occasion) for each image. | Dept. | CY + 2 | GC 26202 | County Archives | | |
| ADM505 | Public Records Requests | Records distributed to the public in response to a public records request. Records series includes the original request, the department response and a <u>copy</u> of the records provided if applicable. | Dept. | CY + 2 | GC 26202 | Shred / Delete | | |
| ADM525 | Recordings of Public Meetings | Audio or video recordings of the official proceedings of a public body subject to the Brown Act. See ADM175 above. Audio or video recordings of the proceedings of the Board of Supervisors are held by the Clerk of the Board in accordance with the Clerk of the Board's records retention schedule. | The subject body or supporting County department. | After minutes are written but no less than 30 days | GC 54953.5 (b) | County Archives | | |
| ADM575 | Records Disposition Certificates | Certificates authorizing and confirming the destruction of records once eligible and as defined on the appropriate records retention schedule. Records series must also include authorized signature lists. | Dept. and ACR-RMAP | P | CSA and Best Practice | Dept. and ACR-RMAP | | |
| ADM600 | Records Retention Schedule | An approved records retention schedule that furnishes public agencies with legal authority to determine final disposition of their records regardless of their format. | Dept. | REV + 4 | GC 26202; CCP 343 | Shred / Delete | | |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|----------------------|--|---|--|--|----------------------------------|-------------------------------|
| Code | Title | | | | | |
| ADM610 | Records Transfer List | A form listing the records sent off-site for storage. This form contains information related to the contents of containers and links the contents to a container barcode for tracking and reference purposes. | Dept and ACR RMAP | Destruction of all listed containers + 2 | GC 26202 | Shred / Delete |
| ADM615 | Resolutions | Resolutions submitted to and approved by the Board of Supervisors. Records series includes, at minimum, the Minute Order, complete text of the Resolution and any supporting documentation. | Initiating Dept and Clerk of the Board | P | GC 25102; Best Practice | Dept and Clerk of the Board |
| ADM625 | Submittal to the Board of Supervisors (Form 11s) | Items submitted for consideration to the Board of Supervisors, including records of proceedings and written descriptions of business conducted. May include annual reports, grand jury reports, and management reports. | Clerk of the Board | P | GC 25102 | Clerk of the Board (GC 25104) |
| ADM 650 | Surveys | Responses to questionnaires or surveys received from the public or staff. | Dept. | CY + 2 | GC 26202 | Shred / Delete |
| ADM750 | Video Monitoring | Recordings of on-going or daily operations. Records include routine video of operations that are not needed for an investigation including mobile in-car video and building surveillance video. | Dept. | 12 months and with written consent of dept. attorney | GC 26202.6 | Delete |
| Finance (FIN) | | | | | | |
| FIN100 | Audit reports | Record of the examination of county finances as prepared by internal or external auditors. May include financial reports and statements showing the status of all county funds and the narrative audit report. | Auditor Controller | P | Best Practice | County Archives |
| FIN150 | Bids - accepted | Record of accepted submissions offered by a vendor or contractor selling goods or services to the County. May include bid (plus spreadsheet and award letter), proposal, request for quotation (RFQ), request for proposal (RFP) and request for information (RFI). | Dept. | Termination of Contract + 7 | CCP 337; GC 26202; Audit Support | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|-----------------------------|--|--|---------------------------|--|-------------------|
| Code | Title | | | | | |
| FIN200 | Bids - rejected | Record of submissions offered by a vendor or contractor selling goods or services to the County other than the one that is accepted. May include bid (plus spreadsheet and award letter), proposal, request for quotation (RFQ), request for proposal (RFP) and request for information (RFI). | Dept. | FY + 2 | GC 26202.1 | Shred / Delete |
| FIN250 | Budgets - approved | The budget document formally approved for the County by the Board of Supervisors. This includes the original budget along with its Form 11 initially adopted and any authorized modifications to it through the end of the fiscal year. | Clerk of the Board; Auditor Controller | P | GC 25102 | County Archives |
| FIN300 | Budgets - supporting papers | Departmental reference copies of the approved County budget as well as the work papers used to compile the annual budget request. Maintained as audit support. May include submissions and appeals in addition to budget manuals, spreadsheets, statistics, County Auditor Controller directives, other data accumulated in the budget development, submission and presentation process. | Dept. | FY + 7 | GC 26202; Audit Support | Shred / Delete |
| FIN350 | Financial reports - annual | Financial reports produced for a single fiscal year in order to monitor spending, workflow, performance measures and other department operations. May include monthly revenue & expenditure reports, annual fixed asset ledgers, and appropriation transfers. | Auditor Controller | FY + 7 | GC 26907; GC 26202; Audit Support | Shred / Delete |
| FIN400 | Purchasing Records | Records created to document the purchases and payments for supplies, equipment and services. May include official copy of purchase order, purchase requisitions (requests), purchasing contracts, payment authorizations, receipts/packing slips. | Dept. | CL + 7 | GC 26907 See also GC 25501.5; Audit Support | Shred / Delete |
| FIN450 | Purchasing Source Documents | Records related to the purchase or acquisition of minor goods or services. May include catalogs, receiving documents and vendor literature. | Dept. | FY + 2 | GC 26202 | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|--------------------------------|--|--|----------------------------------|---|----------------------------------|-------------------|
| Code | Title | | | | | |
| Health and Safety (HSA) | | | | | | |
| HSA100 | Emergency Action and Fire Prevention Plans | Plans for evacuation of agency facilities in cases of emergency and plans to prevent fires. Records series may include fire drill action plans and safety checklists. | Dept. and County Human Resources | REV + 2 | 29 CFR 1910.38-.39; GC 26202 | Shred / Delete |
| HSA125 | Fire Extinguisher Records | Records related to the inspection and maintenance of fire extinguishers. Records belonging to this series will be made available to the Assistance Secretary of Cal/OSHA upon request. | Dept. and County Human Resources | Life of equipment + 1 | 29 CFR 1910.157(e)(3) | Shred / Delete |
| HSA150 | Fire Orders | Orders issued by the Fire Marshal to correct deficiencies in compliance with the fire code. | Dept. and County Human Resources | CL + 3 | GC 26202; Best Practice | Shred / Delete |
| HSA200 | First Aid Records | Records documenting one-time first aid treatment and subsequent observation of minor illnesses and injuries if made onsite by a non-physician and maintained separately from the employee medical records. | Dept. Human Resources | T + 3 | 29 CFR 1910.1020 (d-1)(i-B) | Shred / Delete |
| HSA250 | Hazard Communication Plans | Records related to the approved procedures for the effective communication of workplace hazards, including container labeling and other forms of warning, material safety data sheets and employee training, that are developed in compliance with OSHA 29 CFR 1910.1200. | Dept. and County Human Resources | REV + 5 | GC 26202; Best Practice | Shred / Delete |
| HSA300 | Hazardous Exposure Records | Records related to employee exposure to toxic substances or harmful physical agents. May include accident reports, allegations of employee exposure, audiometric test records, damage reports, employee medical records, environmental permits, environmental monitoring methodologies, calculations and results, biological monitoring results and chemical inventories or other records that indicate where and when a toxic substance or harmful physical agent was in use. | Dept. and County Human Resources | 40 years or T + 20, whichever is longer | 29 CFR 1910.1020 et seq. (OSHA); | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|--------------------|---------------------------------------|---|---|---------------------------|---|-------------------|
| Code | Title | | | | | |
| HSA350 | Injury and Illness Prevention Program | Records related to the steps taken to implement and maintain the Injury and Illness Prevention Program. Includes records of schedules and periodic inspections required by Cal/OSHA and the actions taken to correct unsafe conditions and records documenting required safety and health training. Also includes documentation of safety training for all employees including who attended and the topic discussed. May also include Safety Committee meeting records including issues discussed at meetings and results of investigation reviews. | Dept. and County Human Resources | CY + 3 | 8 CCR 3203(b)(1-2) & (c); County of Riverside IIPP Standard | Shred / Delete |
| HSA400 | Injury and Illness Reports | Records related to reporting and documentation of employee injury or illness. Records may include the Cal/OSHA logs and summary forms [300, 300A and 301], decompression sickness incidents, dive team medical records, log of occupational injury or illness resulting in medical care. NOTE: In January 2002, Cal/OSHA replaced Form 200 with Forms 300, 300A and 301. | Dept. and County Human Resources | CY + 5 | 29 CFR 1904.33; 8 CCR 14300.33 | Shred / Delete |
| HSA450 | Material Safety Data Sheets (MSDS) | MSDS issued by manufacturers. Records series also includes correspondence related to procedures for submission of these forms to the Safety Office and MSDS indexes. | County Human Resources | T + 30 | 29 CFR 1910.1020 (d)(1)(ii)(B) | Shred / Delete |
| Legal (LEG) | | | | | | |
| LEG100 | Contracts / Agreements - general | The binding agreement to provide goods or services including employment, but excluding those for land, buildings or major improvements. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, procurement documentation, and salary administration. May also include working files if they relate to negotiations or changes. | Three copies: Clerk of the Board, Initiating Department and Purchasing Services | CL + 7 | CCP 337; Audit Support | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|--|--|---|---------------------------|----------------------|-------------------|
| Code | Title | | | | | |
| LEG150 | Contracts / Agreements - government | The binding agreement between a County department and another government agency to provide goods or services. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, procurement documentation, and salary administration. May also include working files if they relate to negotiations or changes. | Three copies: Clerk of the Board, Initiating Department and Purchasing Services | CL + 7 | 48 CFR 4.805* | Shred / Delete |
| LEG200 | Contract / Agreements - capital improvements | The binding agreement related to major improvements to County buildings or land. May include the original contract or agreement and any amendments thereto. May also include working files if they relate to negotiations or changes and compliance. | Three copies: Clerk of the Board, Initiating Department and Purchasing Services | CL + 10 | CCP 337.15(a) | Shred / Delete |
| LEG250 | Insurance Policies - any liability coverage | A written agreement stating the obligations and responsibilities of each contracting party. | Human Resources | P | Best Practice | Dept. |
| LEG300 | Insurance Policies - Workers Compensation Coverage | A written agreement stating the obligations and responsibilities of each contracting party. | Human Resources | P | Best Practice | Dept. |
| LEG350 | Insurance Policies - first party coverage only | A written agreement stating the obligations and responsibilities of each contracting party. | Human Resources | T + 4 | GC 26202; CCP 337 | Shred / Delete |
| LEG400 | Leases - excluding real property | Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto. | Dept. | CL + 4 | GC 26202; CCP 337 | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|--------------------------------|--|--|---|---|---------------------------|-------------------|
| Code | Title | | | | | |
| LEG450 | Leases - real property | Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto. | Dept. | CL + 4 | CCP 337.2 | Shred / Delete |
| LEG500 | Legislative Liaison Records | Records documenting the progress of legislation of particular interest to a department. May include copies and drafts, correspondence, testimony, as well as background and research material. | Dept. | Until passed, failed or dropped by department + 2 | GC 26202 | Shred / Delete |
| LEG550 | Litigation Records | Records related to legal correspondence, pleadings and copies of court records. Records series may include transcripts, notices, interrogatories and depositions. | Dept. | CL + 10 | CCP 1952.3; Best Practice | Shred / Delete |
| LEG600 | Public Hearings Records | The official record of any public hearing where a forum for citizens or constituent group may voice opinions and concerns to public officials. These hearings are held separately from a regular or special meeting of a Board, Committee or Commission. May include agenda, minutes, submitted and/or distributed materials, transcripts, speaker sign up, written testimony, and official notices. | Clerk of the Board, subject body or supporting County department. | P | Best Practice | County Archives |
| LEG700 | Subpoenas and Duces Tecum - challenged | Records related to subpoenas or subpoenas duces tecum received by a County department where the department has challenged the requirement to comply. Records series pertains only to those subpoenas where the County is not a party to the litigation. | Dept. | Resolution + 2 | GC 26202; Best Practice | Shred / Delete |
| LEG750 | Subpoenas and Duces Tecum - record of compliance | Records related to subpoenas and subpoenas duces tecum received by a County department where the department has fully complied. Records series pertains only to those subpoenas where the County is not a party to the litigation. | Dept. | Compliance + 2 | GC 26202; Best Practice | Shred / Delete |
| Office Management (OFM) | | | | | | |
| OFM100 | Equipment | Records related to the maintenance, repair and inventory of County leased or owned equipment and vehicles. May include equipment calibration records, maintenance records, motor vehicle records and surplus forms. | Dept. | end of lease or ownership + 7 | GC 24051; Best Practice | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|---------------------------------|--|----------------|-------------------------------|---|-------------------|
| Code | Title | | | | | |
| OFM150 | Facilities | Records related to the maintenance, repair and inventory of County owned property. May include maintenance work orders and repair reports. | Dept. | end of lease or ownership + 7 | GC 24051; Best Practice | Shred / Delete |
| OFM200 | Returned Mail | Mail returned to sender as undeliverable. This series does not include cases where proof of attempt to notify may be required. | Dept. | CY + 2 | GC 26202 | Shred / Delete |
| OFM225 | Security Access Records | Records related to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instructions of access to agency facilities, equipment or automated systems. | Dept. | T + 2 | GC 26202 | Shred / Delete |
| OFM250 | Telephone Call Logs | Formal logs of incoming and outgoing telephone calls. | Dept. | FY + 3 | GC 26202 | Shred / Delete |
| OFM300 | Telephone Messages | Relevant notes documenting calls received that pertain to department activities. | Dept. | CY + 2 | GC 26202 | Shred / Delete |
| OFM325 | Vehicle Usage Reports | Records related to the use of County vehicles by County employees on County business. Records include mileage reports that contain the name of the employee utilizing the county vehicle, the date(s) the vehicle was used by the employee, the purpose of the trip and the starting and ending mileage. | Dept. | FY + 7 | Board of Supervisors' Policy D-2; Audit Support | Shred / Delete |
| OFM350 | Visitor Registration | Visitor logs, registers, or similar records documenting visitor access to limited access or restricted areas of agency facilities. | Dept. | CY + 3 | GC 26202 | Shred / Delete |
| OFM400 | Work Orders - originator copies | Work requests for maintenance services performed on County vehicles, equipment or property. | Dept. | CY + 2 | GC 26202 | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---|-----------------------------------|---|----------------------------------|---|--|-------------------|
| Code | Title | | | | | |
| Personnel (PER) - all records within this group require confidential destruction | | | | | | |
| PER050 | Affirmative Action Reports | Reports requested by the Board of Supervisors relating to compliance with statutes and regulatory requirements of the Equal Employment Opportunity Commission (EEOC). | Dept. | FY + 5 | 29 CFR 1602.32; 29 CFR 30.8(e) | Shred / Delete |
| PER100 | Application and Selection Records | Includes notes of interviews with candidates, questions asked of applicants, and audio and videotapes of job interviews. Records series may include any form of employment inquiry submitted to the employer in response to an advertisement or other notice of existing or anticipated job openings, and disclosure, records pertaining to the failure to hire any individual, medical and psychological disqualifications, polygraph results, resumes, test papers and test results. | Dept. and County Human Resources | Successful: place in Personnel File; Unsuccessful: CR + 3 | 29 CFR 1627.3; 29 CFR 801.30; 29 CFR 1602.31; GC 12946 | Shred / Delete |
| PER110 | Background Checks - hired | Records of background check request, report and related correspondence. Information shall be maintained separately from employees' official personnel file (Civil Code 1798.40(d)). | Dept. and County Human Resources | T + 75 | 29 CFR 1627.3; 29 CFR 801.30; 29 CFR 1602.31; GC 12946 | Shred / Delete |
| PER115 | Background Checks - not hired | Records of background check request, report and related correspondence. | Dept. and County Human Resources | CR + 3 | 29 CFR 1627.3(b)(1)(); 29 CFR 801.30; GC 12946; 29 CFR 1602.31 | Shred / Delete |
| PER150 | Complaints / Grievances | Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Includes documentation of employee grievances, charges related to discrimination or harassment including those filed under or by EEOC/DFEH, County C-25 Harassment, Public Employment Relations Board (PERB), or a violation of Meyers-Millas-Brown Act. May also include an action brought by the Commission or the Attorney General against an employer under title VII. | County Human Resources | CL + 3 | 29 CFR 1602.31; 29 CFR 1602.14; GC 12946 | Shred / Delete |

| Record Series | | Code | Title | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|--|------|--|----------------------------------|----------------|---|----------------------|-------------------|
| | | | | | | | | |
| PER200 | Corrective or Disciplinary Actions - Supervisors' copies | | Supervisors' reference copies of 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. | Dept. | CR + 2 | 29 CFR 1602.31; Best Practice | Shred / Delete | |
| PER250 | Employee Expense (Travel) Reports | | Records related to employee travel on County business including justification. May include correspondence, requests, authorizations, itineraries, record of travel advances and expense reports. | Auditor Controller | FY + 7 | GC 26202; Audit Support | Shred / Delete | |
| PER300 | Leave of Absence Reports / Requests | | Records related to any employee request for leave of absence. May include a leave of absence (medical or non-medical) under the Family Medical Leave Act (FMLA), California Family Rights Act (CFRA) or Pregnancy Disability Leave Act (PDL). May also include requests for educational leave, military leave - The Uniformed Services Employment and Reemployment Rights Act (USERRA), California Military Spouse Leave Law (AB392). Series includes reviews, medical certificates and working documents. | County Human Resources | CL + 7 | GC 26202 | Shred / Delete | |
| PER350 | Leave Reports / Requests | | Records related to employee requests for annual leave, vacation, holiday, comp, or sick leave under County rules. May include approvals or reports for leave time unrelated to requests under the Family Medical Leave Act, California Family Rights Act or Pregnancy Disability Leave Act. | Dept. Human Resources | FY + 3 | 29 CFR 825.500; 29 CFR 1602.30; 29 CFR 1602.32 | Shred / Delete | |
| PER375 | 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. Records series may include dates of treatment, evaluations, medical health questionnaires or history, medical record subpoenas, return to work paperwork, and/or treatment plan diagnosis. | Dept. and County Human Resources | T + 30 | 8 CCR 3204(d)(1)(a) and 3204c (5); 29 CFR 1910.1020(d) (i) and 1910.1030(h) | Shred / Delete | |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|---|--|----------------------------------|--|-------------------------|-------------------|
| Code | Title | | | | | |
| PER400 | Personnel Files | Records documenting an employee's employment history. Records may include appointment letters, college transcripts, demotion, disciplinary notices or documents, employment applications & verifications, exit interviews, layoff, letters of recognition, new hire paperwork, performance evaluations, permanent status letter, personal data information changes, position descriptions, promotions, recall, or discharge, rates of pay, reclassification or reassignment, resume, selection for training, termination paperwork including last date of service, test documents if used as a basis for employment decision. Files may also contain employee-related records that are scheduled for temporary retention. Personnel files are kept current by removing temporary records upon expiration of the retention periods specified. | Dept. and County Human Resources | T + 75 | GC 26202; Best Practice | Shred / Delete |
| PER410 | Personnel Files - Supervisor's Copy | Supervisor's copy of records documenting an employee's work history from one evaluation to the next. Records may include relevant correspondence including email, copies of disciplinary actions, memoranda and notes. The information is maintained and used to complete the employee's annual evaluation. | Dept. | Completion of employee's annual evaluation + 1 | GC 26201; Best Practice | Shred / Delete |
| PER450 | Personnel Service Awards & Certifications | Records documenting employee awards, including recommendations, approved nominations, memoranda, correspondence, reports, and related policies pertaining to agency-sponsored awards. May include awards or certifications from other government agencies or private organizations. | Dept. | CY + 2 | 29 CFR 1602.31 | Shred / Delete |
| PER500 | Policies & Procedures - Personnel | Records related to any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency. Includes list of current County services, description of employee benefits, description of facilities, employee handbook, employee resources, employee services, operational procedures, union recognition and work schedules. | Dept. and County Human Resources | REV + 3 | GC 26202 | Shred / Delete |

| Record Series | | Description | Copy of Record | Official Record Retention | Citation / Rationale | Final Disposition |
|---------------|----------------------------|--|----------------------------------|---------------------------|---|-------------------|
| Code | Title | | | | | |
| PER550 | Time Cards and Time Sheets | Record and verification of the time worked by each employee for purposes of issuing salary warrants. Includes documentation supporting work schedules and shift/crew assignments as well as authorization for overtime. May include employee name, employee number, days and hours worked, vacation, sick or compensatory time used by employees or similar records noting exceptions to normal work hours and often including the department head or supervisor approval. | Dept. Human Resources | FY + 7 | 29 CFR 516.6; 29 CFR 1620.33 (b); Audit Support | Shred / Delete |
| PER600 | Training History | Records retained to confirm participation in and successful completion of job related training programs. Includes documentation of employee continuing education, training and development, including employee identification, training received, dates of training and related records. | Dept. and County Human Resources | T + 2 | 29 CFR 1602.31; 29 CFR 1602.14; GC 12946 | Shred / Delete |
| PER650 | Unemployment | Records documenting unemployment compensation claims. Records shall include a true and accurate work record which includes all workers and their status (employed, on layoff or leave of absence). Records series includes claims, pertinent correspondence, and similar material relating to unemployment compensation cases. | Dept. and County Human Resources | CL + 7 | 22 CCR 1085-2(c) | Shred / Delete |
| PER700 | Volunteer Files | Records documenting a volunteer's service history. Records series may include acceptance letter, correspondence, duties or responsibilities, qualifications and/or resume, etc. | Dept. | T + 3 | GC 26202; Riverside County Ord. 440 § 11.c | Shred / Delete |



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

| | | |
|----------------------|-----------------|--|
| Department / Agency: | All Departments | Schedule Type: General Records Retention Schedule (GRRS) |
| Division: | All Divisions | Schedule #: |
| Section: | All Sections | GRRS_2013_Rev08 |

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 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.

Records Management and Archives Program

Tauna L. Mallis
Name: Tauna L. Mallis

Assistant Assessor-County Clerk-Recorder

Title Date *11/18/13*

County Archives

Jim Hofer
Name: Jim Hofer

Archives Manager

Title Date *14 Nov 2013*

County Auditor-Controller

Tanya Harris
Name: Tanya Harris

Chief Accountant, General Accounting

Title Date *11/19/13*

Riverside County Information Technology

Sebron Partridge
Name: Sebron Partridge

Chief Information Security Officer

Title Date *11/14/13*

County Counsel

Tawny Lieu
Name: Tawny Lieu

Deputy County Counsel

Title Date *11/19/13*

County Risk Management

Jim Sessions
Name: Jim Sessions

Risk Manager

Title Date *11/19/13*