

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

326



FORM APPROVED COUNTY COUNSEL
BY: GREGORY P. PRIAMOS
DATE
Departmental Concurrence

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

SUBMITTAL DATE:
June 18, 2015

SUBJECT: Adopt Resolution No. 2015-139 Pertaining to the Management , Retention, Destruction or Disposition of County Records and Approve Revised Board Policy A-43, County Records Management and Archives Policy

RECOMMENDED MOTION: That the Board of Supervisors:

1. Adopt Resolution 2015-139 Pertaining to the Management, Retention, Destruction or Disposition of County Records;
2. Approve Revised Board Policy A-43, County Records Management and Archives Policy, and require all County departments, agencies and districts to comply

BACKGROUND:

Summary

Since the creation of the Records Management and Archives Program (RMAP), business processes have been steadily moving toward the use of some form of digitized information and records management technology. Consequently, County departments typically maintain information and records in both paper and electronic formats. The Assessor-County Clerk-Recorder has updated Board Policy A-43 to address these changes in business processes and ensure that the benefits derived from technology advances are achieved.

Peter Aldana

Peter Aldana
Assessor-County Clerk-Recorder

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost:	POLICY/CONSENT (per Exec. Office)
COST	\$ 0	\$ 0	\$ 0	\$ 0	Consent <input type="checkbox"/> Policy <input checked="" type="checkbox"/>
NET COUNTY COST	\$ 0	\$ 0	\$ 0	\$ 0	

SOURCE OF FUNDS: NA

Budget Adjustment: NA

For Fiscal Year: NA

C.E.O. RECOMMENDATION:

APPROVE

BY: *Samuel Wong 6/23/15*
Samuel Wong

County Executive Office Signature

MINUTES OF THE BOARD OF SUPERVISORS

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

Prev. Agn. Ref.: 3.36 of 1/13/2004

District: All

Agenda Number:

3-8

SUBMITTAL TO THE BOARD OF SUPERVISORS, COUNTY OF RIVERSIDE, STATE OF CALIFORNIA
FORM 11: Adopt Resolution No. 2015-139 Pertaining to the Management , Retention, Destruction or Disposition of County Records and Approve Revised Board Policy A-43, County Records Management and Archives Policy

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BACKGROUND:

Summary (continued)

Board Policy A-43 has also been updated to better reflect RMAP's programmatic objectives of developing uniform record keeping standards and educating employees in the application of those standards. The policy continues to affirm the program responsibility to maintain centrally managed record facilities in a cost efficient manner, provide assistance and guidance on records management matters and monitor departmental compliance. Other revisions to the policy reflect this additional emphasis on records and information governance, of particular note are the changes referenced below:

- The policy has been updated to restrict County departments from storing records that have not been properly indexed or mapped to a retention schedule;
- References to applicable statutes and regulations have been added;
- The provision for developing standards in the area of electronic filing and digital signatures has been removed as they fall outside the scope of the program;
- The provision requiring "eye-readable" copies of records has been removed in light of the adoption of Board Policy A-68, "Trustworthy Official Electronic Records Preservation."

Due to the distinct differences in management objectives between managing departmental records and archival records, the policy has been divided into two parts: Part A – The County Records and Information Management Policy and Part B – The County Archives Management Policy.

Other changes to the policy, which are non-substantive, are meant to articulate the policy in a collaborative and positive manner with the use of active verbs and by refraining from the use of the commanding word "shall".

There is no fiscal impact to County departments resulting from the adoption of this policy. Because this policy includes the processes used by the county to destroy government records, per Government Code 26202, a 4/5 vote is required.

Impact on Residents and Businesses

The residents and businesses of Riverside County benefit from the efficiencies gained through the implementation of records and information management initiatives, including the availability of clearly identifiable records of county government.

ATTACHMENTS:

- A. Resolution No. 2015-139 Pertaining to the Management, Retention, Destruction or Disposition of County Records
- B. Board of Supervisors Policy A-43, County Records Management and Archives Policy, Redline
- C. Board of Supervisors Policy A-43, County Records Management and Archives Policy, Proposed

2
3 RESOLUTION NO. 2015-139

4
5 A RESOLUTION OF THE BOARD OF SUPERVISORS OF
6 THE COUNTY OF RIVERSIDE PERTAINING TO THE MANAGEMENT, RETENTION,
7 DESTRUCTION OR DISPOSITION OF COUNTY RECORDS

8
9 WHEREAS, the proper management and control of information and records are vital to the
10 County of Riverside, and to facilitate the efficient operation of County government, the County Records
11 Management and Archives Program ("RMAP") apply uniform standards to the creation, access,
12 maintenance, retention, preservation, and disposition of County records; and

13 WHEREAS, effective records management ensures the availability of reliable and accurate
14 information by providing security and control of County records, regardless of the records' format,
15 against loss through mismanagement, natural disaster, theft, or inadvertent destruction; and

16 WHEREAS, pursuant to various provisions in Chapter 13 of Part 2 of Division 2 of Title 3
17 of the Government Code (commencing with Section 26201 et seq.) and provided that all applicable
18 statutory and regulatory conditions and requirements are complied with, the Board of Supervisors may
19 authorize the destruction or disposition of certain records, including but not limited to: (1) duplicate
20 record; (2) record which is more than two years old and was prepared or received in any manner other
21 than pursuant to a state statute or county charter; and (3) record which is more than two years old, was
22 prepared or received pursuant to state statute or county charter and is not expressly required by law to be
23 filed and preserved; and

24 WHEREAS, the State and Federal laws and regulations generally contain certain other
25 provisions and specifications on the handling and retention of records, which provisions may from time to
26 time be amended; and

27 WHEREAS, on July 13, 2004, the Board of Supervisors adopted Resolution No. 2004-044
28 Pertaining to the Retention and Destruction of County Records ("Resolution 2004-044"), which has not

FORM APPROVED COUNTY COUNSEL
BY:  DATE: 6/15/15

1 been modified or updated since that time;

2 NOW, THEREFORE, BE IT RESOLVED by the Board of Supervisors of the County of
3 Riverside, in regular session assembled on June 30, 2015, that with regards to non-records, County
4 officers are hereby authorized to destroy or dispose of annually, or as often as they determine appropriate,
5 all of their original and duplicate non-records, which includes duplicates or other copies of records made
6 solely for convenience or reference; working papers such as rough notes, calculations or drafts assembled
7 or created and used in the preparation or analysis of other documents; appointment logs; stocks of blank
8 forms or publications; or library or museum material intended solely for reference or exhibit.

9 BE IT FURTHER RESOLVED that with regard to public records, papers or documents,
10 County officers shall be authorized to destroy or dispose of such items only pursuant to records retention
11 schedules approved by the Board of Supervisors, which such records retention schedules shall be
12 reviewed annually and timely revisions approved by the Board of Supervisors as necessary, or after
13 reformatting to required standards including those specified in Title 2 of the California Code of
14 Regulations Sections 22620.1 through 22620.8, if reformatting to electronic media, or with the specific
15 permission of the Board of Supervisors.

16 BE IT FURTHER RESOLVED that policies pertaining to the orderly compilation, review,
17 and approval of such records retention schedules and the proper handling and archiving of County records
18 may be maintained in Board policies.

19 BE IT FURTHER RESOLVED that standards for records management may be developed
20 by RMAP, subject to approval by the County Executive Officer and County Counsel or respective
21 designee, consistent with Board policies and all applicable laws and regulations.

22 BE IT FURTHER RESOLVED that upon adoption by the Board of Supervisors, this
23 resolution shall supersede Resolution 2004-044.

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Background

The Board of Supervisors finds that in order to safeguard rights and ensure accountability it is in the best interest of the county and its residents, and essential for the administration of county government, to create, receive, maintain, and make available accurate and reliable county records; and that the most effective way to ensure this is to apply consistent standards for managing records and information across all county departments.

On April 16, 1991, the County Board of Supervisors adopted the county's first Records Management Policy. On January 28, 2003, Board Policy A-43 established the county's records management program and formally created the county's archives under the management of the Assessor-County Clerk-Recorder's office. This program is known collectively as the County Records Management and Archives Program ("RMAP").

RMAP operates the County Records Centers used to store county records that are not immediately required to support day-to-day business. Records in the County Records Centers may be either temporary (those waiting for their destruction date) or permanent (those waiting to be transferred to an archive). Legal custody and control of records remain with the department that created or received the records, until such time as the records are legally destroyed or transferred to the Robert J. Fitch County Archives ("Archives"). The Archives is the repository of the permanently valuable records of the county. The Archives preserves and maintains these records and makes them available for research.

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Part A. General County Records and Information Management Policy

Section A. General

Section A.1. Title

This policy shall be known as "The County Records Management and Archives Policy."

Section A.2. Findings

The Board of Supervisors finds that in order to safeguard rights and ensure accountability it is in the best interest of the county and the citizens thereof, and essential for the administration of county government, to create, receive, maintain, and make available accurate and reliable county records; and that the most effective way to ensure this is to apply consistent standards of responsible recordkeeping across all county departments.

Section A.31. Authority

This policy is adopted in consideration of the provisions of Government Code §6250 et seq. pertaining to ~~the availability and accessibility of~~ public records; Government Code §§~~26201~~~~26202~~-26202.6 and §§26205-26205.8 pertaining to the Board of Supervisors' responsibilities regarding the retention and destruction of ~~County county~~ records; ~~in accordance with~~ Government Code §12168.7 ~~et seq.~~ pertaining to establishing standards ~~for trusted systems~~; ~~in accordance with~~ Government Code §~~34090~~~~726201~~ pertaining to ~~prescribing procedures for~~ destruction of duplicate records; and pursuant to County of Riverside Resolution ~~2004-044~~~~2015-139~~ pertaining to the ~~management, retention, and~~ destruction, ~~or disposition~~ of county records.

Section A.32. Program Objectives

It is the purpose and intent of this policy to establish standards for managing county records and information in accordance with applicable laws; thus, the Board of Supervisors sets the following program objectives:

1. DEVELOP uniform standards for managing county records and information.
2. EDUCATE employees in the application of those standards.
3. FACILITATE the implementation of those standards.
4. MAINTAIN centrally managed cost-efficient county records facilities.

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5. MONITOR policy compliance.

Section A.4. Purpose and intent

~~It is the purpose and intent of this policy to establish a uniform program of responsible recordkeeping applicable to all county departments in accordance with applicable law. By doing so, it is the Board of Supervisors' goal to:~~

- ~~a. **SAVE SPACE** by removing from offices records not required for the day-to-day operations; by removing from storage areas records that no longer have significant value; and by maintaining a consistent flow of records from office space to off-site storage to destruction.~~
- ~~b. **SAVE MONEY** by better utilization of office space and imaging technology for active records; by restricting the use of leased space for storage of inactive records; by controlling the purchase of equipment and supplies to file inactive records; by providing cost-effective storage facilities for inactive records; and by encouraging the use of automated micrographic systems for very active, long term and archival records.~~
~~**SAVE TIME AND LABOR** in locating records by removing inactive records from office files; by centrally locating inactive records in an off-site facility; by maintaining a computerized records management system which provides for retrieval and accounting of off-site records and utilizing imaging technology and automation for active records retrieval.~~
- ~~c. **PRESERVE AND PROTECT** documents of historical significance and/or archival value.~~

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Section A.543. Applicability

This policy and the standards ~~for responsible recordkeeping~~ developed by RMAP for managing county records and information under its authority apply to all county departments.

Part Section B. Program rResponsibilities

Section B.1. Responsibilities – rRecords mManagement and aArchives pProgram

The ~~County Assessor-County Clerk-Recorder's office shall manage and maintain RMAP and operate the County Records Management Program and the County Archives (to be known collectively as RMAP)~~ on behalf of the County Board of Supervisors. RMAP operates as an internal service fund and establishes fees adequate to recover the full cost of maintaining the program. RMAP develops and

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maintains uniform standards for managing county records and information. RMAP provides training, advice, and assistance to departments on the application of those standards. In order for the Board of Supervisors to monitor compliance with this policy, RMAP shall develop and maintain a multi-year business plan to make available archival, records and reformatting services to all county departments. This plan shall include establishing fees adequate to recover the full costs of such services. RMAP conducts annual reviews of department record management practices and conformance to program standards, and recommends improvements where appropriate.

RMAP shall periodically survey departmental records management practices, and where appropriate recommend improvements in those practices. This shall include assessing use of space, equipment, systems and supplies necessary and appropriate to create, receive, maintain, store, archive and make available records.

Section B.2. Responsibilities – County Records CenterFacilities

County records administered by RMAP are kept in county-approved facilities suitable for records storage at locations determined by RMAP to be most efficient to serve the needs of departments. These facilities offer services for the proper storage, retrieval, delivery and disposal of county records. Records which are not in conformity with a Board-approved records retention schedule and program standards may not be accepted for storage at these facilities.

To make available cost effective storage, access, and disposal for county records of temporary value, RMAP shall manage and operate the official County Records Center following generally accepted records management standards. Preferably, county records with limited retention periods that are not immediately required to support day-to-day business should, as appropriate, be stored at the County Records Center for the remainder of their retention period.

Any alternative records storage facilities used by departments to store county records, such as leased facilities or third party vendors, shall meet the standards for secure records storage developed by appropriate guidelines for secure records storage developed by RMAP based on generally accepted best practices. County records shall only be stored in facilities with fire warning and suppression systems, and with adequate security to prevent unauthorized access to, or interference with, the records.

Section B.3. Responsibilities – County Archives

Commented [d1]: See Part B.

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~~The official County Archives shall identify, collect, preserve, and make available the county's documentary heritage of records of permanent value. The County Archives shall follow generally accepted standards of archival practice.~~

~~In order to ensure preservation of records most cost effectively, departments which choose to transfer county records of permanent value to the County Archives should do so as soon as practicable. County departments should work with the County Archives as applicable to develop procedures that balance the need to preserve records of permanent value with continuing department business need for access to them.~~

Section B.43. Responsibilities – eCustody, eControl of, and aAccess to rRecords

~~The rights of custody and control of departmental records that departments choose to store in the County Records Center remain with the departments, including the granting of access to the records county employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any and all legal restrictions regarding access to records shall remain in effect while stored at the County Records Center Facilities on behalf of departments.~~

~~Any county officer or employee having custody or control of any county records shall, at the expiration end of their term of office, appointment, or employment, will deliver to their successor, supervisor or as directed by their department head, custody and control of all records kept or received by them to their successors or supervisors, or to RMAP if appropriate and as directed. All records in the possession of any county department shall, upon termination of activities of such department, will be transferred to any the successor department or to RMAP as appropriate when directed by the department head, provided that such transfer of custody and control is consistent with the formal provisions of such termination.~~

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Section B.54. Responsibilities – departmental cooperation Departments
~~County departments shall, as appropriate, cooperate with RMAP to meet the intent of this policy, follow the guidelines for responsible recordkeeping established under this policy, and develop department policies and procedures in accordance with those guidelines.~~

~~Each county department shall designate an individual, or individuals, to assist with and be directly responsible for implementing this policy. RMAP shall offer regular training to assist and support those departmental personnel.~~

~~The management of departmental records is the responsibility of the department. in accordance with the established policy and standards, The department head, or official~~

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~~designated by the department their designee, is responsible for implementing this policy and ensuring that their employees complete records management training offered or approved by RMAP. Departments develop their departmental guidelines, consistent with this policy and program standards, to govern the management and use of their records, regardless of the records' format, and to ensure adequate internal controls are in place to prevent the unauthorized use, removal, disposition or loss of records. Records in the possession of the department are governed by this policy and program standards, including the maintenance of and adherence to record retention schedules, submission of the annual assessment report in the form prescribed by the program as specified under Section B.56, and the adoption of a trusted system as appropriate pursuant to Board of Supervisors Policy A-68, Trustworthy Official Electronic Records Preservation, ("Board Policy A-68").~~

Section B.6. Responsibilities – requests for space allocation

~~Departments shall include a description of their records management plan with any request for additional space and relevant capital improvements, and in that description shall include any work with RMAP to most efficiently and cost effectively address the space demands of records in their current location.~~

Section B.75. Responsibilities – records & micrographic equipment, software & systems

~~Regarding purchases, upgrading, or rental of records and/or micrographic equipment, software and systems the purchasing agent shall consult with RMAP to ensure efficient and cost-effective use of existing resources and to meet established standards for responsible recordkeeping.~~

Section B.85. Responsibilities – a Annual Report

~~Within 90 days following the end of each fiscal year, RMAP shall make an annual report to the Board of Supervisors summarizing the activities of the program, and conformance to generally accepted responsible recordkeeping standards. The annual report shall include a listing of all extensions to retention periods requested by and granted to departments through the course of the year, and brief summaries of the justifications given.~~

~~The annual report shall include a summary of the financial activities of the program in the previous year compared with budgeted appropriations and estimated revenues. The annual report shall also include the program's long-range financial plan over a period of not less than five years into the future. The annual report shall also include an executive summary of the program's business plan, including, but not limited to, an assessment of service needs and market opportunities, strategic~~

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~~planning, and capital planning.~~

~~No later than 90 days upon close of each fiscal year, RMAP reports to the Board of Supervisors the program's financial activities, financial condition, and long-term business outlook. The report will include a compiled summary of the departmental annual assessment reports affecting records maintained by the departments.~~

PartSection C. Standards

Section C.1. Standards – ~~establishing~~Development

~~With the approval of the County Executive Officer and County Counsel or respective designee, RMAP shall establish develops program standards for responsible recordkeeping managing county records and information are that are consistent in conformity with applicable statutes, and regulations and recognized best practices in consideration of recognized best practices, and shall upon request provide training, advice, and assistance to all county departments in conforming with these standards.~~

~~As necessary and appropriate, the director of RMAP shall organize one or more committees to assist in establishing standards for responsible recordkeeping. He or she, or his or her representative, shall chair any such committee, which shall include representatives of concerned departments.~~

Section C.2. Standards – ~~establishing~~ – records retention and destruction

~~RMAP shall develop standards, forms and procedures to assist departments in preparing departmental records retention schedules that adequately provide for the indefinite retention of records of permanent value, and for the prompt and orderly disposition of records of temporary value.~~

Section C.32. Standards – ~~copy of record~~Official Record

~~Where any county record, as defined in this policy, is created or received and maintained in more than one copy, the department concerned shall clearly designate a copy of which one is the official record, and shall assign responsibility~~

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~~for maintaining that copy of record in accordance with the applicable records retention schedule. The original paper document must not be disposed of until the expiration of the approved retention period unless an electronic copy of the record has been designated as the official record in accordance with Board Policy A-68 (Trustworthy Official Electronic Records Preservation). Caution should be exercised as the authenticity of an electronic official record may be challenged if regulatory and policy requirements governing electronic documents are not met.~~

~~When any county record is held by more than one department, the departments concerned will clearly designate the copy that will serve as the official record in a Board approved retention schedule. The official record must meet or exceed all legal and evidentiary requirements and be maintained in accordance with this policy. Electronic official records must be created or received and maintained within a trusted environment in accordance with Board Policy A-68.~~

Section C.4. Standards – eye-readable formats

~~Records with a mandatory retention of five years or longer shall be maintained in an eye-readable format in addition to any electronic format used for access or business process support. Records vital to business continuity, whatever their mandatory retention, shall be maintained in eye-readable format in addition to any electronic format used for access or business process support.~~

Section C.53. Standards – rReformatting

~~To ensure cost-effective production of copies, whether analog or digital, of county records that meet required standards for surrogates, RMAP shall manage and operate an official county reformatting program following generally accepted industry standards. RMAP shall maintain a reference library of such applicable national and international reformatting standards for the use of all county departments and other clients. Reformatting of county records by any department other than RMAP, or by any outside contractor, shall meet or exceed the same standards applied by the county reformatting program. All departments performing their own reformatting or contracting for reformatting shall work with RMAP to establish appropriate procedures to confirm adherence to those standards.~~

~~Where a record is reformatted to another medium, whether analog or **electronic**, in such a way that the reformatted record may act as a legal surrogate for the original, the reformatted record is **considered** to be the official record and is subject to the same requirements and restrictions applicable to the original including the standards established by Board of Supervisors Policy A-68.-~~

Section C.64. Standards – mMicrofilm

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All films used in the microphotography process will shall meet or exceed conform to minimum quality standards of quality approved by the United States Bureau of Standards National Institute for Standards and Technology and the American National Standards Institute, or other generally recognized standard setting organizations as applicable and relevant. A true copy of the microfilm is shall be kept offsite in a safe and separate place for security purposes.

Section C.7. Standards — electronic format

In accordance with Government Code §12168 et seq., the Board of Supervisors recognizes the need to adopt uniform countywide standards for the purpose of storing and recording both permanent and temporary records in electronic media. In order to ensure that uniform countywide standards remain current and relevant, RMAP, in consultation with the County Executive Officer and County Counsel, shall adopt appropriate standards established by the American National Standards Institute, the Association for Information and Image Management, or other generally recognized standard setting organizations as applicable and relevant. These standards shall include a requirement that a trusted system be utilized.

In order to implement standards as expeditiously as possible, and until such time as specific countywide standards are adopted, RMAP shall make readily available to departments copies of standards and/or guidelines recommended by the American National Standards Institute, the Association for Information and Image Management, or other generally recognized standard setting organizations, as applicable and relevant, for recording permanent and/or nonpermanent records. County officers shall ensure microfilming, electronic data imaging, and photographic reproduction meet or exceed these minimum standards.

Section C.8. Standards — electronic filing

When not inconsistent with other provisions of law, RMAP may, in consultation with the County Executive Officer, County Counsel, and other interested parties, propose to the Board of Supervisors adoption of policies and procedures to authorize electronic filing in lieu of filing or recording documents presented in paper format, including filing by facsimile, of any document required to be filed with the county under any act administered by the county.

The rules and regulations may set forth standards for the acceptance of a signature in a form other than the proper handwriting of the person filing a document that requires his or her signature. A signature on a document electronically filed, or filed by facsimile, in accordance with those rules and regulations is prima facie evidence for all purposes that the document actually was signed by the person whose

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~~signature appears on the electronically filed document or facsimile.~~

~~The filing or recording shall constitute a unique computerized informational record. The record need not be retained in the form in which it is received, if the technology used to retain the record results in a permanent record that does not permit additions, deletions, or changes to the original document, and from which an accurate image may be created during the period for which the record is required to be retained. The filing officer may employ a system of microphotography, optical disk, or reproduction by other techniques that do not permit additions, deletions, or changes to the original document. A true copy of the microfilm, optical disk, or other storage medium shall be kept in a safe and separate place for security purposes.~~

Part Section D. Records rRetention and Destruction

Section D.1. Records rRetention sSchedules – gGeneral

In order to ~~most~~ efficiently and effectively implement the various provisions of the Government Code pertaining to the Board of Supervisors approval of records retention and destruction, the county ~~shall use~~ Board-approved general and departmental records retention schedules. These schedules that specify the various record series, their retention periods, and any particular restrictions or specifications regarding their retention, disposition and destruction.

Section D.2. Records rRetention sSchedules – rResponsibilities

~~RMAP, acting as a liaison between departments, shall coordinate the preparation of records retention schedules and destruction of records, destruction activities generally, and shall act as liaison between departments, risk management, the County Auditor-Controller, County Counsel and the County Executive Office in matters dealing with records retention.~~

~~County departments shall develop and maintain their own records retention schedules and records destruction activities in accordance with the established guidelines pursuant to Section D.9, below. This includes coordinating statutorily required Board approval of each departmental schedule, and periodic updates as necessary to remain current.~~

Section D.3. Records rRetention sSchedules – rResponsibilities – mMaster file

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RMAP ~~shall maintain~~ a master file of all records retention schedules approved by the Board of Supervisors with a copy of the Board minute order of approval attached to each. ~~RMAP shall make readily available. Reference copies of the approved records retention schedules are available upon request to county officials, employees, and the public.~~ reference copies of approved records retention schedules.

Section D.4. Records ~~r~~Retention ~~s~~Schedules – ~~s~~Standard – ~~copy of~~Official ~~r~~Record

Records retention schedules ~~shall~~ apply to the ~~copy of official~~ record, unless explicitly stated otherwise.

Section D.5. Records ~~r~~Retention ~~s~~Schedules – ~~s~~Standard – ~~r~~Retention ~~p~~Periods

~~The retention periods on Board approved records retention schedules are mandatory, and records shall be disposed of in accordance with those approved retention periods. Records not required for active or likely litigation, and which have been subjected to any and all applicable audits, must be disposed of at the end of their scheduled retention period, unless a department head certifies a specified business need to extend their retention period. RMAP shall keep a register of such certified extensions, and report a summary of extensions in their annual report.~~

~~In some departments, records of a series listed on the county's general records retention schedule may need to be retained longer than the general schedule period, due to specific audit or contract requirements applicable to that department's programs. Departments should treat such cases separately when developing and revising their specific records retention schedules.~~

~~As an interim measure until all departments have specific records retention schedules, department heads or their designees shall certify a business need to extend the retention period required by the general schedule for such records, citing the specific audit or contract provisions concerned. Such records shall be disposed of on authority of the general schedule when this certified extension has passed.~~

Records retention schedules apply to all records regardless of media or format. The implementation of Board-approved records retention schedules, including the prompt destruction of records upon expiration of the assigned retention period, is mandatory. The extension of a retention period due to litigation, audit, subpoena or public records request will be submitted by the department head using the prescribed RMAP form. RMAP reports all extensions to the Board of Supervisors annually.

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Some records series listed on the county's general records retention schedule may need to be retained by a department longer due to specific audit or legal requirements. Such series will be listed on a departmental records retention schedule as described in Section D.8 below.

No duplicates or other copies of any records are to shall be retained longer than the mandatory retention period for the copy-efofficial record. When records are disposed of by records retention schedule, departments shall-will ensure they retain no duplicates or other copies are retained.

Section D.6. Records rRetention sSchedules – aApproval

~~Pursuant to Government Code §26205.1, to be in effect records retention schedules require approval by the Board of Supervisors. Records retention schedules submitted by RMAP to the County Executive Office for Board approval shall require prior sign off by the County Archives manager, Risk Management, County Auditor-Controller, County Counsel, and the director of RMAP.~~

~~RMAP sign-off of any proposed records retention schedule shall include certification the schedule was reviewed by a professional archivist and/or historian to ensure the need to maintain the county's documentary heritage is adequately considered in establishing the retention periods.~~

Pursuant to Government Code §26205.1 and Resolution 2015-139, records retention schedules must be approved by the Board of Supervisors to be in effect. RMAP coordinates the submission of records retention schedules to the Board of Supervisors for approval including the preparation of the Form 11. Prior to submittal, retention schedules are reviewed by an authorized designee from RMAP, the County Archives, Risk Management, Manager, County Auditor-Controller, and County Counsel. The county's general records retention schedule will be signed by an authorized designee from RMAP. Departmental records retention schedules will be signed by the department head.

Section D.7. Records retention schedules – list of approved schedules

~~All records retention schedules approved by the Board of Supervisors shall be listed below in this section by title, schedule number, approval date, and agenda number.~~

~~The list in this section shall constitute the only valid list of authorized records retention schedules to be used by county departments and RMAP.~~

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~~Subsequent to the adoption of this policy, a motion for the Board of Supervisors to approve a records retention schedule shall be taken as a motion to amend this policy to add the title and approval date of the schedule to this section.~~

~~Listing a records retention schedule in this section shall be taken as inclusion by reference of the entire approved retention schedule in the text of this policy. When revising a records retention schedule, a motion for the Board of Supervisors to approve a revised retention schedule shall be taken as a motion to amend this section of this policy to add the title of the revised schedule and approval date to this section, and to delete the title and approval date of the previous version of that schedule from this section.~~

~~Board approved records retention schedules are listed in **Attachment A.**~~

Section D.87. Records retention schedules – general schedule

~~A general records retention schedule for the county shall be developed and maintained under the supervision of the director of RMAP, or designee, in consultation with other county departments as necessary and appropriate.~~

~~The completed or updated proposed general records retention schedule shall be accompanied by a signature page signed by the county archives manager, Risk Management, County Auditor-Controller, County Counsel, and the director of RMAP, or their respective designees. The general records retention schedule and its accompanying signature page shall be submitted under cover of a fully executed Form 11 by RMAP to the County Executive Office pursuant to Board Policy A-5 for review and submittal to the Board of Supervisors for approval.~~

~~A Board approved general records retention schedule shall only provide authority for the disposition of 'housekeeping' records commonly found in most county departments. The general records retention schedule shall not cover the specific programmatic records produced by departments. Retention requirements of programmatic records shall be defined and documented by departments in their own specific records retention schedules.~~

~~Pursuant to Government Code §26205.1, no general records retention schedule shall be effective unless and until approved by the Board of Supervisors.~~

~~In consultation with other county departments, RMAP develops and maintains a general records retention schedule for the county. The general records retention schedule provides the authority for the disposition of records commonly found in most county departments. Retention requirements for departments' specific program records are~~

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listed in their own departmental records retention schedules pursuant to Section D.8.

Section D.98. Records ~~r~~Retention ~~s~~Schedules – ~~d~~Departmental ~~s~~Schedules

~~Specific records retention schedules shall be developed and maintained by each county department. RMAP shall provide forms and procedures for inventorying records and developing retention schedules, and shall provide guidance and assistance to department personnel in their use upon request.~~

~~All proposed or updated department records retention schedules and their accompanying signature pages shall be submitted on behalf of departments by RMAP under cover of a fully executed Form 11 to the County Executive Office pursuant to Board Policy A-5 for review and submittal to the Board of Supervisors for approval. All records retention schedules submitted to the Board of Supervisors shall be accompanied by a signature page signed by the head of the department, Risk Management, County Auditor-Controller, County Counsel, the county archives manager, and the director of RMAP, or their respective designees.~~

~~Pursuant to Government Code §26205.1, no departmental records retention schedule shall be effective unless or until approved by the Board of Supervisors. Each department develops department-specific records retention schedules to include records unique to their business. RMAP provides the forms and procedures for inventorying records and developing the records retention schedule, and provides guidance and assistance to departmental personnel.~~

Section D.409. Records ~~r~~Retention – ~~r~~Records ~~d~~Destruction

~~Pursuant to Government Code §§26201-26202.6 and §§26205-26205.8, County records, as defined in this policy, shall only be destroyed: (1) in accordance with an approved records retention schedule listed in this policy; or (2) after reformatting to required standards; or (3) with specific permission of the Board of Supervisors.~~

~~Reformatting means to copy the content, structure, and context of records to another medium in such a way the copy may act as a satisfactory surrogate for the original. In order to conserve space and resources, original records reformatted to required standards may be destroyed before their approved retention period has expired, since from the time the originals are destroyed the reformatted copies are deemed to be original records, and subject to the same requirements and restrictions of the retention schedules applicable to the originals.~~

~~Records shall be destroyed in accordance with standards and procedures developed by RMAP. These procedures shall include a form approving the destruction signed by~~

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~~the head of the department, or designee, and the director of RMAP, or designee. All approvals of the destruction of records shall include: (1) a citation to the specific records retention schedule and the specific item on that schedule providing authority for the destruction; or, (2) certification that the records were reformatted to required standards, and the reformatted copies are intended to serve as the copy of record; or (3) an attached copy of the board minute order authorizing destruction. Records required in relation to active or likely litigation shall be maintained, and may not be destroyed by authority of an approved schedule, until all litigation matters are finally resolved and both risk management and County Counsel approve disposition. Records required for audit purposes shall not be destroyed by authority of an approved schedule until all applicable audits are complete and audit exceptions resolved. All approvals of the destruction of records shall include certification by the head of the department, or their designee, that the records are not required in relation to active or likely litigation or for audit purposes.~~

Pursuant to Government Code §§26202-26202.6 and §§26205-26205.8, county records will be destroyed in accordance with a Board of Supervisors approved records retention schedule, or after reformatting to required standards pursuant to Section C.3, or with specific permission of the Board of Supervisors.

Records are to be destroyed in accordance with this policy at the end of the approved retention period. All approvals for destruction of records include certification by the department head, or their designee, that the records are not required in relation to active or likely litigation, public records request, subpoena, or for audit purposes. Records required in relation to litigation are to be retained until all litigation matters are resolved and both Risk Management and County Counsel approve the destruction. Records required for audit purposes are to be retained until the audit is complete and audit exceptions are resolved.

A representative of RMAP or the department ~~shall~~ will supervise the destruction of records, and ~~shall~~ attest in writing that destruction is carried out according to required procedures.

Section D.4410. Records ~~r~~Retention – ~~n~~Non-~~R~~records ~~d~~Destruction

Pursuant to Government Code ~~§34090.7~~ §26201 and other provisions of the state statutes, non-records, as defined in this policy, may be destroyed at any time. Departments may dispose of non-records when they are no longer needed to support business processes.

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Part B – County Archives Management Policy

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The Board of Supervisors established the County Archives Commission in September 1997. This Commission is charged with making recommendations to the Board of Supervisors concerning the development of the Archives, including the acquisition and preservation of significant historical records, documents and objects following generally accepted standards of archival practice. The purpose of the Archives program is to identify, collect, preserve, arrange, and describe records of historical significance relevant to the County of Riverside and county government, and to educate the public as to their use. The Archives serves as both a repository for these unique documents and as a resource center open to county staff and to the public. Materials relating to the history of the county and surrounding areas of influence are also collected to assist with the interpretation of these records, and to place them in the context of the overall growth and development of Riverside County.

In order to ensure the preservation of historical records, departments choosing to transfer documents to the Archives should do so as soon as practicable. Departments should work with the Archives as needed to develop procedures that balance the need to preserve records of permanent value with continuing department business need for access to them.

When departments choose to have records accessioned into the Archives, rights of custody and control of those records transfer to the Archives. This shall be known as archival custody. The Archives shall be responsible for providing access to records in archival custody to county employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any and all legal restrictions regarding access shall remain in effect for records extend to records under archival custody.

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Glossary

As used in this policy, the following ~~terms shall have the following meanings/definitions apply:~~

"Accession" means the process whereby the ~~County~~ Archives accepts transfer from a county department of records of permanent value which the department selects for preservation and which are brought within the ~~County~~ Archives' systems of physical and intellectual control.

"Archival custody" means the state of records once accessioned by the County Archives, and in which the County Archives accepts responsibility for appropriately maintaining those records, which includes planning and budgeting for their preservation, and for providing access in accordance with all applicable statutes, regulations, policies and procedures.

~~"Copy of record" means the copy of a record designated as the official copy.~~

~~"County Archives" means a facility for the collection, preservation, and use of records of permanent value transferred by departments to the County Archives, and which is managed and operated to generally accepted standards of archival practice. Departments transfer legal custody of records that they choose to transfer to the County Archives, although legal, regulatory and procedural restrictions regarding access to those records remain in effect.~~

~~"County Records Center" means a facility for the cost-effective storage and disposition of records of temporary value managed and operated to generally accepted records~~

~~management standards. Departments retain legal custody of the records they choose to house in the County Records Center.~~

"Department" means every county office, department, group of departments, division, a g e n c y, bureau, board, and commission that is not a separate public entity of the county.

"Duplicate" means any accurate and unabridged copy of a record or series of records.

~~"Eye-readable" means that records are in a format that can be directly interpreted by the human eye with or without magnification, and with no need for mediating interpretation such as software applications. Examples of eye-readable formats are~~

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~~paper, microfilm, and microfiche.~~

"Non-records" means duplicates or other copies of records made solely for convenience or reference; working papers such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents; appointment logs; stocks of blank forms or publications; or library or museum material intended solely for reference or exhibit.

"Official record" means the copy of a record designated as the official copy.

"Permanent-value" as applied to records means there is no termination or end point to the value of maintaining the records, and that they or their appropriate surrogate are intended to be available indefinitely.

"Records" means all papers, maps, plans, photographic films and prints, microfilm or other micro-formats, electronic data, audio and visual materials, and other documents, regardless of physical form or characteristics, which are produced, received, owned, used, or retained by a department in the regular course of transacting official county business.

"Reformatting" means to copy the content, structure, and context of records to another medium, whether analog or ~~digitalelectronic~~, in such a way that the copy may act as a satisfactory surrogate for the original. This requires meeting accepted national standards for particular processes and media.

~~"Responsible recordkeeping" is a generally accepted term that means creating, receiving, maintaining, and making available records in an efficient and cost-effective manner which conforms to all applicable statutes and regulations, supports business processes, and meets the responsibilities placed on public agencies to safeguard rights and ensure accountability.~~

"Retention period" means the length of time a record must be retained to fulfill its administrative, fiscal and/or legal function.

"Retention schedule" means a list of all categories of records produced or maintained by a department or agency, and the required and Board of Supervisors' approved actions to be taken with regard to those records, including establishing their retention period.

"Temporary-value" as applied to records means there is a termination or end point to the value of maintaining the records, and that they are intended to be disposed of

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at that point.

"Trusted system" means a combination of techniques, policies, and procedures within which there is no plausible scenario in which a document retrieved from or reproduced by that system could differ substantially from the document as originally stored.

Reference:

Minute Order 3.12 of 04/16/1991
Minute Order 3.4 of 01/28/2003
Minute Order 3.36 of 01/13/2004
Minute Order 3.8 of 06/8/2004
Minute Order 3.5 of 1/23/2007
Minute Order 3.8 of 2/5/2008
Minute Order 3.12 of 12/16/2008
Minute Order 3.6 of 7/21/2009
Minute Order 3.11 of 12/01/2009
Minute Order 3.19 of 4/20/2010
Minute Order 3.4 of 12/17/2010
Minute Order 3.2 of 11/08/2011
Minute Order 3.10 of 12/12/2011
Minute Order 3.10 of 1/10/2012
Minute Order 3.20 of 08/28/2012
Minute Order 3.2 of 11/27/2012
Minute Order 3-18 of 02/26/2013
Minute Order 3-12 of 07/14/2013
Minute Order 3-18 of 08/20/2013
Minute Order 3-15 of 11/05/2013
Minute Order 3-9 of 12/10/2013
Minute Order 3-19 of 09/09/2014

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Attachment A

Section D.7. Records retention schedules—list of approved schedules

Board-approved records retention schedules are listed below as follows:

<i>Schedule Title</i>	<i>Schedule No.</i>	<i>Date</i>	<i>Agenda No.</i>
General Records Retention Schedule	GRRS_2013_Rev08	12/10/2013	3-9
Agricultural Commissioner's Office	DRRS_AGC_2013_Rev01	12/10/2013	3-9
Animal Services	DRRS_CHA-AS_2011_Rev01	7/12/2011	3-10
ACR—Assessor	DRRS_ACR-A_2011_Rev02	7/12/2011	3-10
ACR—County Clerk	DRRS_ACR-C_2011_Rev02	7/12/2011	3-10
ACR—Recorder	DRRS_ACR-R_2013_Rev03	11/05/2013	3-15
ACR—Records Management and Archives Program	DRRS_ACR-RMAP_2013_Rev01	2/26/2013	3-18
Child Support Services	DRRS_GSS_2010_Rev01	12/7/2010	3-4
County Counsel	DRRS_COCO_2008_Rev01	12/16/2008	3-12
County Executive Office	DRRS_CEO_2013_Rev03	7/16/2013	3-12
County Human Resources	DRRS_CHR_2011_Rev02	1/10/2012	3-10
Department of Public Social Services	DRRS_DPSS_2011_Rev01	1/10/2012	3-10
District Attorney's Office	DRRS_DAO_2013_Rev01	12/10/2013	3-9
EDA—Accounting & Finance	DRRS_EDA-ACF_2014_Rev01	9/9/2014	3-19
EDA—Real Estate	DRRS_EDA-RE_2011_Rev01	11/08/2011	3-2
EDA/RDA—Project Management Office (Projects)	DRRS_EDA/RDA-PMO_2011_Rev01	11/08/2011	3-2
EDA—Workforce Development Department	DRRS_WDD_2013_Rev01	12/10/2013	3-9
Environmental Health—District Environmental Services	DRRS_EH-DES_2014_Rev03	9/9/2014	3-19
Environmental Health—Environmental Protection and Oversight Division	DRRS_CHA-EPO_2010_Rev02	12/7/2010	3-4
Flood Control	950-01	12/18/1990	7-7
Mental Health	DRRS_MH_2013_Rev01	8/20/2013	3-18
Office on Aging	DRRS_OoA_2012_Rev01	11/27/2012	3-2
Probation	DRRS_PROB_2013_Rev01	11/05/2013	3-15
Public Defender	DRRS_PD_2013_Rev01	11/05/2013	3-15
Public Health—Children's Medical Services	DRRS_PH-CMS_2011_Rev02	11/08/2011	3-2

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Public Health—Clinic Management	DRRS_CHA_CM_2011_Rev02	11/08/2011	3.2
Public Health—Community Outreach	DRRS_PH_CO_2013_Rev03	7/16/2013	3-12

<i>Schedule-Title</i>	<i>Schedule-No.</i>	<i>Date</i>	<i>Agenda No.</i>
Public Health—Disease Control / Administration	DRRS_PH_DC_A_2011_Rev02	11/08/2011	3.2
Public Health—Disease Control / Communicable Diseases		1/23/2007	3.5
Public Health—Disease Control / Healthy Children's Connection		1/23/2007	3.5
Public Health—Disease Control / Sexually Transmitted Diseases	DRRS_PH_STD_2013_Rev02	11/05/2013	3-15
Public Health—Disease Control / Tuberculosis	DRRS_PH_DC_TB_2011_Rev02	11/08/2011	3.2
Public Health—Epidemiology & Program Evaluation		1/23/2007	3.5
Public Health—Fiscal	DRRS_PH_FCL_2013_Rev01	12/10/2013	3-9
Public Health—HIV / AIDS	DRRS_PH_HIV_2013_Rev03	11/05/2013	3-15
Public Health—Immunization	DRRS_PH_IM_2011_Rev02	7/12/2011	3.10
Public Health—Laboratory	DRRS_PH_LAB_2012_Rev01	11/27/2012	3.2
Public Health—Maternal, Child and Adolescent Health (MCAH)	DRRS_PH_MCAH_2012_Rev02	8/28/2012	3.20
Public Health—Nursing	DRRS_CHA_PHN_2010_Rev01	12/7/2010	3.4
Public Health—Nutrition Services / Women, Infants, Children (WIC)	DRRS_PH_NS_2010_Rev02	12/7/2010	3.4
Public Health—Special Services Division / Office of Industrial Hygiene	DRRS_PH_IH_2011_Rev02	1/10/2012	3.10
Riverside County Information Technology (RCIT)	DRRS_RCIT_2011_Rev01	7/12/2011	3.10
Riverside County Regional Medical Center (RCRMC)	DRRS_RCRMC_2014_Rev02	9/9/2014	3-19
Sheriff-Coroner Public Administrator	DRRS_SHE_2013_Rev01	2/26/2013	3-18
TLMA—Building and Safety	DRRS_BNS_2014_Rev01	9/9/2014	3-19
TLMA—Code Enforcement	DRRS_TLMA_CODE_2012_Rev 01	2/26/2013	3-18
TLMA—Planning	DRRS_PLAN_2014_Rev01	9/9/2014	3-19
TLMA—Transportation	DRRS_TRANS_2013_Rev02	7/16/2013	3-12
Treasurer-Tax Collector	DRRS_TTC_2012_Rev01	8/28/2012	3.20
Veterans' Services	DRRS_VET_2012_Rev02	8/28/2012	3.20

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Background

The Board of Supervisors finds that in order to safeguard rights and ensure accountability, it is in the best interest of the county and its residents, and essential for the administration of county government, to create, receive, maintain, and make available accurate and reliable county records; and that the most effective way to ensure this is to apply consistent standards for managing records and information across all county departments.

On April 16, 1991, the Board of Supervisors adopted the county's first Records Management Policy. On January 28, 2003, Board Policy A-43 established the county's records management program and formally created the county's archives under the management of the Assessor-County Clerk-Recorder's office. This program is known collectively as the County Records Management and Archives Program ("RMAP").

RMAP operates the County Records Centers used to store county records that are not immediately required to support day-to-day business. Records in the Records Centers may be either temporary (those waiting for their destruction date) or permanent (those waiting to be transferred to an archive). Legal custody and control of records remain with the department that created or received the records, until such time as the records are legally destroyed or transferred to the Robert J. Fitch County Archives ("Archives"). The Archives is the repository of the permanently valuable records of the county. The Archives preserves and maintains these records and makes them available for research.

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Part A. County Records and Information Management Policy

Section A. General

Section A.1. Authority

This policy is adopted in consideration of the provisions of Government Code §6250 et seq. pertaining to public records; Government Code §§26202-26202.6 and §§26205-26205.8 pertaining to the Board of Supervisors' responsibilities regarding the retention and destruction of county records; Government Code §12168.7 pertaining to establishing standards for trusted systems; Government Code §26201 pertaining to destruction of duplicate records; and pursuant to County of Riverside Resolution 2015-139 pertaining to management, retention, destruction, or disposition of county records.

Section A.2. Program Objectives

It is the purpose and intent of this policy to establish standards for managing county records and information in accordance with applicable laws; thus, the Board of Supervisors sets the following program objectives:

1. DEVELOP uniform standards for managing county records and information.
2. EDUCATE employees in the application of those standards.
3. FACILITATE the implementation of those standards.
4. MAINTAIN centrally managed cost-efficient county records facilities.
5. MONITOR policy compliance.

Section A.3. Applicability

This policy and the standards developed by RMAP for managing county records and information apply to all county departments.

Section B. Program Responsibilities

Section B.1. Responsibilities –Records Management and Archives Program

The Assessor-County Clerk-Recorder's office manages and maintains RMAP on behalf of the Board of Supervisors. RMAP operates as an internal service fund and establishes fees adequate to recover the full cost of maintaining the program. RMAP develops and maintains uniform standards for managing county records and information. RMAP provides training, advice, and assistance to departments on the

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application of those standards. In order for the Board of Supervisors to monitor compliance with this policy, RMAP conducts annual reviews of department record management practices and conformance with program standards, and recommends improvements where appropriate.

Section B.2. Responsibilities – County Records Facilities

County records administered by RMAP are kept in county-approved facilities suitable for records storage at locations determined by RMAP to be most efficient to serve the needs of departments. These facilities offer services for the proper storage, retrieval, delivery and disposal of county records. Records which are not in conformity with a Board-approved records retention schedule and program standards may not be accepted for storage at these facilities.

Any alternative records storage facilities used by departments to store county records, such as leased facilities or third party vendors, shall meet the standards for secure records storage developed by RMAP. County records shall only be stored in facilities with fire warning and suppression systems, and with adequate security to prevent unauthorized access to, or interference with, the records.

Section B.3. Responsibilities – Custody, Control of, and Access to Records

The rights of custody and control of departmental records remain with the department, including the granting of access to the records in accordance with applicable statutes, regulations, policies, and procedures. Any and all applicable legal restrictions regarding access to records must remain in effect while stored at County Records Facilities on behalf of departments.

Any county officer or employee, at the end of their term of office, appointment, or employment, will deliver to their successor, supervisor, or as directed by their department head, custody and control of all records kept or received by them. All records in the possession of any county department, upon termination of activities of such department, will be transferred to the successor department or to RMAP when directed by the department head, provided that such transfer of custody and control is consistent with the formal provisions of such termination.

Section B.4. Responsibilities – Departments

The management of departmental records is the responsibility of the department. The department head, or their designee, is responsible for implementing this policy and ensuring that their employees complete records management training offered or

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approved by RMAP. Departments develop their departmental guidelines, consistent with this policy and program standards, to govern the management and use of their records, regardless of the records' format, and to ensure adequate internal controls are in place to prevent the unauthorized use, removal, disposition or loss of records. Records in the possession of the department are governed by this policy and program standards, including the maintenance and adherence to record retention schedules, submission of the annual assessment report in the form prescribed by the program as specified under Section B.5, and the adoption of a trusted system as appropriate pursuant to Board of Supervisors Policy A-68, Trustworthy Official Electronic Records Preservation, ("Board Policy A-68").

Section B.5. Responsibilities – Annual Report

No later than 90 days following the close of each fiscal year, RMAP reports to the Board of Supervisors the program's financial activities, financial condition, and long-term business outlook. The report will include a compiled summary of the departmental annual assessment reports affecting records maintained by the departments.

Section C. Standards

Section C.1. Standards – Development

With the approval by the County Executive Officer and County Counsel, RMAP develops program standards for managing county records and information that are consistent with applicable statutes and regulations and in consideration of recognized best practices.

Section C.2. Standards – Official Record

When any county record is held by more than one department, the departments concerned will clearly designate the copy that will serve as the official record in a Board approved retention schedule. The official record must meet or exceed all legal and evidentiary requirements and be maintained in accordance with this policy. Electronic official records must be created or received and maintained within a trusted environment in accordance with Board Policy A-68.

Section C.3. Standards –Reformatting

Where a record is reformatted to another medium, whether analog or electronic, in such a way that the reformatted record may act as a legal surrogate for the original, the reformatted record is considered to be the official record and is subject to the same

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requirements and restrictions applicable to the original including the standards established by Board Policy A-68.

Section C.4. Standards –Microfilm

Films used in the microphotography process will conform to quality standards approved by the National Institute for Standards and Technology and the American National Standards Institute, or other generally recognized standard setting organizations as applicable and relevant. A true copy of the microfilm is kept offsite for security purposes.

Section D. Records Retention and Destruction

Section D.1. Records Retention Schedules – General

In order to efficiently and effectively implement the various provisions of the Government Code pertaining to Board of Supervisors approval of records retention and destruction, the county uses Board-approved general and departmental records retention schedules. These schedules specify the various record series, retention periods, and any particular restrictions or specifications regarding retention, disposition and destruction.

Section D.2. Records Retention Schedules – Responsibilities

RMAP, acting as a liaison between departments, coordinates the preparation of records retention schedules and destruction of records.

Section D.3. Records Retention Schedules – Responsibilities – Master File

RMAP maintains a master file of all records retention schedules approved by the Board of Supervisors with a copy of the Board minute order of approval attached to each. Reference copies of the approved records retention schedules are available upon request.

Section D.4. Records Retention Schedules – Standard – Official Record

Records retention schedules apply to the official record, unless explicitly stated otherwise.

Section D.5. Records Retention Schedules – Standard – Retention Periods

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Records retention schedules apply to all records regardless of media or format. The implementation of Board-approved records retention schedules, including the prompt destruction of records upon expiration of the assigned retention period, is mandatory. The extension of a retention period due to litigation or audit will be submitted by the department head using the prescribed RMAP form. RMAP reports all extensions to the Board of Supervisors annually.

Some records series listed on the county's general records retention schedule may need to be retained by a department longer due to specific audit or legal requirements. Such series will be listed on a departmental records retention schedule as described in Section D.8 below.

No duplicates or other copies of any records are to be retained longer than the mandatory retention period for the official record. When records are disposed of by schedule, departments will ensure no duplicates or other copies are retained.

Section D.6. Records Retention Schedules – Approval

Pursuant to Government Code §26205.1 and Resolution 2015-139, records retention schedules must be approved by the Board of Supervisors to be in effect. RMAP coordinates the submission of records retention schedules to the Board of Supervisors for approval including the preparation of the Form 11. Prior to submittal, retention schedules are reviewed by an authorized designee from RMAP, the County Archives Manager, Risk Management, County Auditor-Controller, and County Counsel. The county's general schedule will be approved by an authorized designee from RMAP. Departmental records retention schedules will be approved by the department head.

Section D.7. Records Retention Schedules – General Schedule

In consultation with other county departments, RMAP develops and maintains a general records retention schedule for the county. The general records retention schedule provides the authority for the disposition of records commonly found in most county departments. Retention requirements for departments' specific program records are listed in their own departmental records retention schedules (per Section D.8).

Section D.8. Records Retention Schedules – Departmental Schedules

Each department develops department-specific records retention schedules to include records unique to their business. RMAP provides the forms and procedures for inventorying records and developing the retention schedule, and provides guidance and assistance to departmental personnel.

Section D.9. Records Retention – Records Destruction

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Pursuant to Government Codes 26202-26202.6 and 26205-26205.8, county records will be destroyed in accordance with a Board of Supervisors approved records retention schedule, or after reformatting to required standards (per Section C.3), or with specific permission of the Board of Supervisors.

Records are to be destroyed in accordance with this policy at the end of the approved retention period. All approvals for destruction of records include certification by the department head, or their designee, that the records are not required in relation to active or likely litigation, public records request, subpoena, or for audit purposes. Records required in relation to litigation are to be retained until all litigation matters are resolved and both Risk Management and County Counsel approve the destruction. Records required for audit purposes are to be retained until the audit is complete and audit exceptions are resolved.

A representative of RMAP or the department will supervise the destruction of records and attest in writing that destruction was carried out according to required procedures.

Section D.10. Records Retention – Non-Records Destruction

Pursuant to Government Code §26201 and other provisions of state statutes, non-records, as defined in this policy, may be destroyed at any time. Departments may dispose of non-records when they are no longer needed to support business processes.

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Part B – County Archives Management Policy

The Board of Supervisors established the County Archives Commission in September 1997. This Commission is charged with making recommendations to the Board of Supervisors concerning the development of the Archives, including the acquisition and preservation of significant historical records, documents and objects following generally accepted standards of archival practice. The purpose of the Archives program is to identify, collect, preserve, arrange, and describe records of historical significance relevant to the County of Riverside and county government, and to educate the public as to their use. The Archives serves as both a repository for these unique documents and as a resource center open to county staff and to the public. Materials relating to the history of the county and surrounding areas of influence are also collected to assist with the interpretation of these records, and to place them in the context of the overall growth and development of the county.

In order to ensure the preservation of historical records, departments choosing to transfer documents to the Archives should do so as soon as practicable following procedures developed by the Archives. Such procedures will balance the need to preserve records of permanent value with continuing department business need for access to them.

When departments choose to have records accessioned into the Archives, rights of custody and control of those records transfer to the Archives. The Archives provides access to records in archival custody to county employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any legal restrictions regarding access to records extend to records under archival custody.

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Glossary

As used in this policy, the following definitions apply:

“Accession” means the process whereby the County Archives accepts transfer from a county department of records of permanent value which the department selects for preservation and which are brought within the County Archives’ systems of physical and intellectual control.

“Archival custody” means the state of records once accessioned by the County Archives, and in which the County Archives accepts responsibility for appropriately maintaining those records, which includes planning and budgeting for their preservation, and for providing access in accordance with all applicable statutes, regulations, policies and procedures.

“Archives” means a facility for the collection, preservation, and use of records of permanent value transferred by departments to the County Archives, and which is managed and operated to generally accepted standards of archival practice. Departments transfer legal custody of records that they choose to transfer to the County Archives, although legal, regulatory and procedural restrictions regarding access to those records remain in effect.

“Department” means every county office, department, group of departments, division, agency, bureau, board, and commission that is not a separate public entity of the county.

“Duplicate” means any accurate and unabridged copy of a record or series of records.

“Non-records” means duplicates or other copies of records made solely for convenience or reference; working papers such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents; appointment logs; stocks of blank forms or publications; or library or museum material intended solely for reference or exhibit.

“Official record” means the copy of the record designated as the official copy.

“Permanent” as applied to records means there is no termination or end point to the value of maintaining the records, and that they or their appropriate surrogate are intended to be available indefinitely.

“Records” means all papers, maps, plans, photographic films and prints, microfilm or other micro-formats, electronic data, audio and visual materials, and other

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documents, regardless of physical form or characteristics, which are produced, received, owned, used, or retained by a department in the regular course of transacting official county business.

“Reformatting” means to copy the content, structure, and context of records to another medium, whether analog or digital, in such a way that the copy may act as a satisfactory surrogate for the original. This requires meeting accepted national standards for particular processes and media and applicable laws and regulations.

“Retention period” means the length of time a record must be retained to fulfill its administrative, fiscal and/or legal function.

“Retention schedule” means a list of all categories of records produced or maintained by a department, and the required and Board of Supervisors approved actions to be taken with regard to those records, including establishing their retention period.

“Temporary” as applied to records means there is a termination or end point to the value of maintaining the records, and that they are intended to be disposed of at that point.

“Trusted system” means a combination of techniques, policies, and procedures within which there is no plausible scenario in which a document retrieved from or reproduced by that system could differ substantially from the document as originally stored.

Reference:

Minute Order 3.12 of 04/16/1991
Minute Order 3.4 of 01/28/2003
Minute Order 3.36 of 01/13/2004
Minute Order 3.8 of 06/8/2004
Minute Order 3.5 of 1/23/2007
Minute Order 3.8 of 2/5/2008
Minute Order 3.12 of 12/16/2008
Minute Order 3.6 of 7/21/2009
Minute Order 3.11 of 12/01/2009
Minute Order 3.19 of 4/20/2010
Minute Order 3.4 of 12/17/2010
Minute Order 3.2 of 11/08/2011
Minute Order 3.10 of 12/12/2011
Minute Order 3.10 of 1/10/2012
Minute Order 3.20 of 08/28/2012
Minute Order 3.2 of 11/27/2012

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Minute Order 3-15 of 11/05/2013		
Minute Order 3-9 of 12/10/2013		
Minute Order 3-19 of 09/09/2014		