

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

749



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

**SUBMITTAL DATE:**  
August 28, 2012

**SUBJECT:** Approval of the General Records Retention Schedule (Rev07) and three Departmental Records Retention Schedules (DRRS).

**RECOMMENDED MOTION:** That the Board of Supervisors approve the attached General Records Retention Schedule and three Departmental Records Retention Schedules (DRRS) for Public Health – Maternal Child and Adolescent Health, Treasurer-Tax Collector and Veterans' Services and direct the Clerk of the Board to amend the list of Board-approved records retention schedules contained in Section D.7 of Board Policy A-43 to include these schedules.

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

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

*Larry W. Ward*

Larry W. Ward  
Assessor-County Clerk-Recorder

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

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

**C.E.O. RECOMMENDATION:** APPROVE

BY: *Karen E. Johnson*  
Karen E. Johnson

**County Executive Office Signature**

**MINUTES OF THE BOARD OF SUPERVISORS**

On motion of Supervisor Tavaglione, seconded by Supervisor Buster and duly carried, IT WAS ORDERED that the above matter is approved as recommended.

Ayes: Buster, Tavaglione, Benoit and Ashley  
 Nays: None  
 Absent: Stone  
 Date: August 28, 2012  
 xc: ACR, Public Health, Treasurer, Veterans Services

Kecia Harper-Ihem  
 Clerk of the Board  
 By: *Kecia Harper-Ihem*  
 Deputy

**Prev. Agn. Ref.:** | **District:** ALL | **Agenda Number:** 3.20

FORM APPROVED COUNTY COUNSEL  
BY: *Tawny V. DeU*  
DATE: 8/15/2012  
Departmental Concurrence

Dept't Recomm.:  Consent  Policy   
 Per Exec. Ofc.:  Consent  Policy

**Record Retention Schedules  
Listed by Department  
August 28, 2012**

**REVISED SCHEDULES**

**General Records Retention Schedule**

All County (Attachment A)

*Supersedes schedule adopted July 12, 2011 Agenda #3.10*

**Public Health**

**Maternal Child and Adolescent Health**

All sections (Attachment B)

*Supersedes schedule adopted January 23, 2007 Agenda # 3.5*

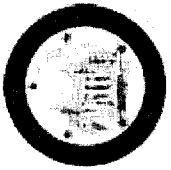
**NEW SCHEDULES**

**Treasurer-Tax Collector**

All sections (Attachment C)

**Veterans' Services**

All sections (Attachment D)



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_VET\_2012\_Rev02)

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

Inquiries or comments regarding this schedule should be directed to:

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

### Introduction

This Departmental Records Retention Schedule (DRRS) for Veterans' Services is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted September 10, 2002.

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

Veterans' Services will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. Veterans' Services is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, Veterans' Services is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

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## **Explanation of Fields**

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

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

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

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

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

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

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## **Explanation of Codes**

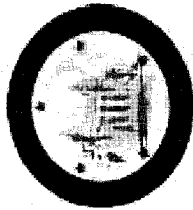
**AV** = Administratively Valuable

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

**CDVA** = California Department of Veterans Affairs

**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.

**GC** = California Government Code



## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Veterans' Services

Division: ALL

Schedule #:

**DRRS\_VET\_2012\_Rev02**

Section: ALL

Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
VET100	Case Studies	A Veterans Client File that is unique in terms of its precedent setting potential. The file is maintained for reference purposes. Records series includes client information in addition to its special argument or evidential documentation.	Veterans' Services AV + 2, but not less than CL + 3	GC 26202; Best Practice	Shred / Delete
VET200	Client Files	File created for every applicant utilizing the Veterans Services Offices. Records series may include correspondence and copies of military records, etc.	Veterans' Services CL + 3	GC 26202; Best Practice	Shred / Delete
VET300	Program Claims - Medical Cost Avoidance	Veterans Benefits Verification & Referral Form (CW5) copies. A copy of the completed form is to be kept by the County Veterans' Services Office.	Veterans' Services; Public Social Services CL + 3	GC 26202; CDVA Procedure Manual	Shred / Delete
VET400	Semi-Annual Reports	Reports generated to report the number of subvention and Medi-Cal cost avoidance claims have been processed in a given audit year. Originals are filed with the State, while copies are maintained by the County Veterans' Services Office.	Veterans' Services; CDVA FY + 7	GC 26202; Best Practice	Shred / Delete

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE



Department / Agency: Veterans' Services	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division: ALL	Schedule #: DRRS_VET_2012_Rev012
Section: ALL	

## SIGNATURE PAGE

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

**Department Head**

Name: William J. Earl      Director  
 Title: Director      Date: 8/1/12

**Records Management and Archives Program**

Name: Tauna Mallis      Assistant Assessor-Clerk-Recorder  
 Title: Assistant Assessor-Clerk-Recorder      Date: 8/13/12

**County Archives**

Name: Jim Hofer      Archives Manager  
 Title: Archives Manager      Date: 14 August 2012

**County Auditor-Controller**

Name: Frankie Ezzat      Chief Accountant  
 Title: Chief Accountant      Date: 8/15/12

**Riverside County Information Technology**

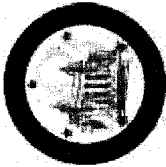
Name: Section Partidge      Deputy Chief Information Security Officer  
 Title: Deputy Chief Information Security Officer      Date: 8/14/12

**County Counsel**

Name: Tawny Lieu      Deputy County Counsel  
 Title: Deputy County Counsel      Date: 8/15/2012

**County Risk Management**

Name: Jim Sessions      Risk Manager  
 Title: Risk Manager      Date: 8/15/12



**County of Riverside, California  
General Records Retention Schedule  
(GRRS\_2012\_Rev07)**

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\_2011\_Rev06) adopted on July 12, 2011.

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.

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## Explanation of Codes

**AU** = After Audit is settled

**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.

**AV** = Retained as long as Administratively Valuable

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

**CCP** = California Code of Civil Procedure

**CFR** = Code of Federal Regulations

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

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

**CU** = Current

**CY** = Calendar year end

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

**FY** = Fiscal year end

**GC** = California Government Code

**P** = Permanent

**PC** = California Penal Code

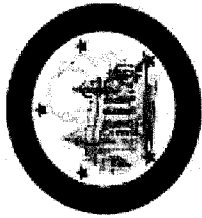
**R & TC** = California Revenue and Tax Code

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

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



# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE



Department / Agency: All Departments

Division: All Divisions

Section: All Sections

Schedule Type: General Records Retention Schedule (GRRS)

Schedule #:

## GRRS\_2012\_REV07

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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; Best Practice	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; Best Practice	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; Best Practice	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; Best Practice	Shred / Delete
<b>STREET (AD)</b>						
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		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	Best Practice	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	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	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.	REV + 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 copy 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 may 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 clear legal authority to determine final disposition of their records regardless of their format.	Dept.	REV + 2	GC 26202	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)
<b>FIN</b>						
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	Best Practice	Shred / Delete
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

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	Audit Support; Best Practice	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; Best Practice	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; Best Practice	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
<b>Health Services</b>						
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 + 1	29 CFR 1910.38-.39; Best Practice	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	CU + 1	29 CFR 1910.157	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	Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
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	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
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



Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
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
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	Best Practice	Shred / Delete
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 - liability (personnel)	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	T + 30	29 CFR 1910.1020	Shred / Delete
LEG300	Insurance Policies - liability (property)	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	T + 10	CCP 337.15(a)	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
LEG350	Insurance Policies - non-liability	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	CL + 3	Best Practice	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 + 3	Best Practice	Shred / Delete
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	Best Practice	Shred / Delete

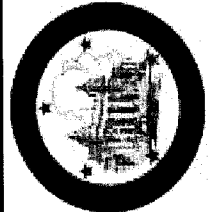
Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
LEG750	Subpoenas and Duces Tecum - record of compliance	Records related to subpoenas and subpoenas duces tecum received by a County department where the department has fully complied. Records series pertains only to those subpoenas where the County is not a party to the litigation.	Dept.	Compliance + 2	Best Practice	Shred / Delete
<b>OFFICE OF THE COUNTY CLERK (OFM)</b>						
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
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	Best Practice	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	Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
OFM400	Work Orders - originator copies	Work requests for maintenance services performed on County vehicles, equipment or property.	Dept.	CY + 2	Best Practice	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, background checks 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 (EPPA); see also 29 CFR 1602.31; 29 CFR 1602.14; GC 12946	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
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	Audit Support; Best Practice	Shred / Delete

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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		Best Practice	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
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		Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	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
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 (audit support)	29 CFR 516.6; 29 CFR 1620.33 (b)	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

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	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 #:	<b>GRRS_2012_Rev07</b>
Section:	All Sections		

## SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the director of 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  
 Title: Assistant Assessor-County Clerk-Recorder  
 Date: 8/6/12

### County Archives

*James D. Hofer*  
 Name: Jim Hofer  
 Title: Archives Manager  
 Date: 6 August 2012

### County Auditor-Controller

*Frankie Ezzat*  
 Name: Frankie Ezzat  
 Title: Chief Accountant  
 Date: 8/6/12

### Riverside County Information Technology

*Sebyon Partridge*  
 Name: Sebyon Partridge  
 Title: Information Security Officer  
 Date: 8/14/12

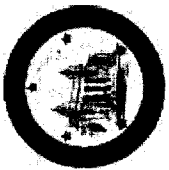
### County Counsel

*Tawny Lieu*  
 Name: Tawny Lieu  
 Title: Deputy County Counsel  
 Date: 8/6/2012

### County Risk Management

*Jim Sessions*  
 Name: Jim Sessions  
 Title: Risk Manager  
 Date: 8/6/2012





**County of Riverside, California  
Departmental Records Retention Schedule  
(DRRS\_TTC\_2012\_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 Treasurer-Tax Collector (TTC) 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 Treasurer-Tax Collector 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 Treasurer-Tax Collector will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Treasurer-Tax Collector is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Treasurer-Tax Collector will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

The Treasurer-Tax Collector will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. The Treasurer-Tax Collector is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, the Treasurer-Tax Collector is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

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## Explanation of Fields

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

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

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

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

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

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

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## Explanation of Codes

**AU** = Final Audit

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

**CASPC** = California Accounting Standards and Procedures for Counties

**CCP** = California Code of Civil Procedure

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

**CY** = Calendar year end

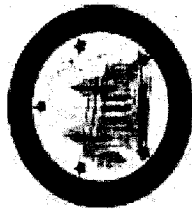
**FY** = Fiscal year end

**GC** = California Government Code

**P** = Permanent

**R&TC** = California Revenue and Tax Code

**S&HC** = California Streets and Highways Code



## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Treasurer-Tax Collector

Schedule Type: Departmental Records Retention Schedule

Division: All

Schedule #:

DRRS\_TTC\_2012\_Rev01

Section: All

Code	Title	Record Series	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
TTC-ACC100	Bonds		Records documenting billing, collections, payments and settlements to the bond holders. Records series includes bond book ledgers, bond holder envelopes, bond foreclosure forms, bond registration and letter to register bonds.	Treasurer-Tax Collector	CL + 10	S&HC 6446; CCP 337.5; Best Practice	Shred / Delete
TTC-ACC125	Bulk Transfer Records		Bulk transfer records. Records series may include notice of bulk sale, correspondence with escrow companies and liability letters.	Treasurer-Tax Collector	FY + 5	GC 26202; Best Practice	Shred / Delete
TTC-ACC150	Cancel Penalty Affidavits		Cancellation of penalty request. Cancellation request form indicating the R&TC code as reason for the request, includes back up documents such as bank letter/or letter, mailed envelope, IMSA/Paradox print out, affidavits, etc.	Treasurer-Tax Collector	AU + 2	GC 26202; CASPC	Shred / Delete
TTC-ACC175	Daily Reports		Documents for balancing daily collection activity. These include daily reports and supporting documents for balancing Tax Collector and Auditor Controller daily collection activity.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TTC-ACC200	Excess Proceeds	Claims for monies submitted to the County after the sale of a parcel. Records series may include excess proceeds number, publication, research report, PO cert list, distribution, no claims, completed claims item, party of interest report, stat reports.		Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete
TTC-ACC225	Field Collection Files	Field collection files. Records series may include copies of checks, copies of tax bills, seizure notices, correspondence, certified correspondence copies, and bank seizure copies.		Treasurer-Tax Collector	FY + 3	GC 26202; Best Practice	Shred / Delete
TTC-ACC250	Four Year Payment Plans	Agreements for four year payment plans on escaped assessments, unsecured and secured property taxes. Records series may include, copies of payments received and applied and lapsed/unlapsed payment plans.		Treasurer-Tax Collector	FY + 5	Best Practice; R&TC 4837.5	Shred / Delete
TTC-ACC275	Installment Payment Plan Agreements	Installment payment plan (IPP) agreements for secured delinquent taxes. Records series may include signed agreements for installment payment plans, copies of property tax printouts, receipts, and copies of checks.		Treasurer-Tax Collector	FY + 5	Best Practice; R&TC 4221; GC 26202	Shred / Delete
TTC-ACC300	Installment Payment Plan Reconciliation Reports	Installment Payment Plan (IPP) transfers. Records series may include individual payment plan distribution and back-up.		Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TTC-ACC325	Internal Audit Work Papers	Internal audit and work papers. Records series may include various fund reconciliations, documentation / summary of variances, and instructions for corrections.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete	
TTC-ACC350	Mobile Home Tax Clearance	Mobile home tax clearance certificate, property tax screen printouts, and title search. Records series may include request for payment letter, correspondence, and supporting documentation.	Treasurer-Tax Collector	FY + 12	GC 26202; R&TC 5832; Best Practice	Shred / Delete	
TTC-ACC375	Monthly Distribution	Internal Treasurer-Tax Collector monthly distribution reconciliation reports and supporting documents.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete	
TTC-ACC400	Negative Apportionments	Negative apportionment requests and supporting documentation.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete	
TTC-ACC425	Non Cash Tickets	Non-cash tickets for records only and distribution. This series is for records only and distribution noncash tickets maintained for audit purposes.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete	
TTC-ACC450	Office Fees	Annual fee calculations. Records series may include annual fee calculations, methodology, and supporting documents.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete	

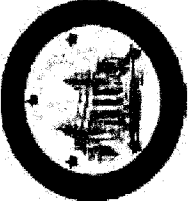
Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TTC-ACC475	Payment Files	Record documenting Treasury Cash Receipt (TCR) Team report, emails, spreadsheets, and emailed notification. Records series may include wire payment files and check payment files.		Treasurer-Tax Collector	FY + 2	GC 26202; CASPC	Shred / Delete
TTC-ACC500	Release Of Refunds	Release of refund work papers. Records series may include departmental requests, e-mail, and back-up paperwork. Checklist and refund reports.		Treasurer-Tax Collector	FY + 2	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete
TTC-ACC525	Subdivision and/or Parcel Maps	Subdivision/parcel maps submitted with a request for taxes due for current year or estimated taxes due for the forthcoming fiscal tax year. Payment or tax bond guaranteeing all taxes must be submitted and acknowledged by the Tax Collector, prior to the final approval of the subdivision parcel map by the Clerk of the Board. Records series may include application for estimated taxes due or current taxes due and copy of parcel map		Treasurer-Tax Collector	CY + 2	Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete
TTC-ACC550	Tax Sales Files	Files created for the preparation of a tax sale. Master files, proofing reports. TC item numbers that sold, and related documents. Records series may include IRS, cancelled sales, re-offers, lot book order, State notify, Accurint, loss report, redeemed parcels, stubs off sale, lot books, and personal visits.		Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-ACC575	Unclaimed Money Records	Documents to maintain deposits and disbursements of unclaimed money. Records series may include unclaimed money logs, deposits, claims, correspondence, publication and disposition of funds, and related back-up documentation.		Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
TTC-ADM100	Addendas	Returned certified letters mailed out to parties that may get a Power to Sell lien if not paid before next fiscal year, includes green cards.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete
TTC-ADM125	Correspondence with Remittance (Windmill Files)	Correspondence with payment(s) from taxpayers requiring response to an investigation or inquiry. Records series may include letters, notes, and postcards.	Treasurer-Tax Collector	P	Best Practice, Treasurer-Tax Collector Executive Management	Dept.
TTC-ADM150	Customer Comment Cards	Forms completed by customers of the Treasurer-Tax Collector's office where customers comment on the services provided to them. Customers rate customer service and provide suggestions for improvement of the services provided by the Treasurer-Tax Collector.	Treasurer-Tax Collector	FY + 3	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete
TTC-ADM175	Grand Jury Reports-Work Papers	Copies may include reports, finance documents, transcripts, and responses to or from grand jury.	Treasurer-Tax Collector	P	Best Practice, Treasurer-Tax Collector Executive Management	Dept.
TTC-ADM200	Military Relief Tax Deferral Requests	Application for deferment of property taxes while taxpayer is deployed in the Armed Services when the tax becomes due and payable. Records series may include application and military orders for deployment.	Treasurer-Tax Collector	CL + 2	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
TTC-ADM225	Photos - Archival Records	Photos that are significant in historical value, not including individual elected official photos.	Treasurer-Tax Collector	P	Best Practice, Treasurer-Tax Collector Executive Management	Robert J. Fitch County Archives	
TTC-ADM250	Printed Materials - Archival Copies	Printed materials distributed by the Treasurer-Tax Collector's office to the general public.	Treasurer-Tax Collector	P	Best Practice, Treasurer-Tax Collector Executive Management	Robert J. Fitch County Archives	
TTC-ADM275	Studies and Statistics	Record of the Treasurer-Tax Collector's activities and accomplishments; may include statistics, narrative reports, graphs, and diagrams.	Treasurer-Tax Collector	P	Best Practice, Treasurer-Tax Collector Executive Management	Robert J. Fitch County Archives	
TTC-ADM300	Treasurer-Tax Collector's - Archival Records	Records of the current and previous elected officials. Records series may include pictures, articles, letterhead, business cards, etc.	Treasurer-Tax Collector	P	Best Practice, Treasurer-Tax Collector Executive Management	Robert J. Fitch County Archives	
TTC-LEG100	Agreements of Sale (Chapter 8)	Agreement of sale for parcels by cities, non-profit organizations, water district, redevelopment agencies, the State. Agency mailing. Records series may include objection letters, work-ups, agreements of sale, distribution, Form 11, proofing reports, certified mailings, IRS, publication.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice, Treasurer-Tax Collector Executive Management	Shred / Delete	
TTC-LEG125	Bankruptcy	Chapter 7, 11, 13, 9, and 12. Records series may include claims, payments, petitions, legal documents (attorney and court), etc.	Treasurer-Tax Collector	FY + 2	GC 26202	Shred / Delete	




Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
TTC-LEG150	Publications	Publications for impending Power to Sell, three year delinquent list, able to collect, and black box. Records series may include text proofs, publication proofs, agreements between publisher and County, price for publication, and Form 11.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice;	Shred / Delete	
TTC-LEG175	Release of Lien	Records documenting the release of a lien on a property.	Assessor-County Clerk-Recorder; Treasurer-Tax Collector	Last approved extension + 10	Best Practice; R&TC 2191.4	Shred / Delete	
TTC-LEG200	Summary Judgments	Summary judgments and satisfaction of judgments. Records series may include property tax printouts, copies of checks and receipts.	Assessor-County Clerk-Recorder; County Counsel; Treasurer-Tax Collector	FY + 10	R&TC 3105	Shred / Delete	

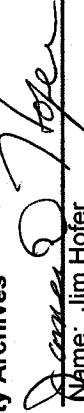
<b>COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE</b>	
	Treasurer-Tax Collector
Department / Agency:	Treasurer-Tax Collector
Division:	All
Section:	All
Schedule Type: Departmental Records Retention Schedule (DRRS)	
Schedule #: <b>DRRS_TTC_2012_Rev01</b>	


### 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.

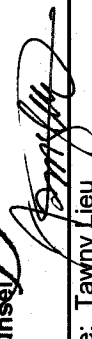
**Department Head**   
 Name: Don Kent Title: Treasurer-Tax Collector Date: 6-7-12


**Records Management and Archives Program**   
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 8-6-12

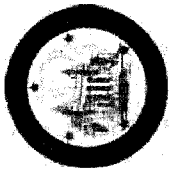
**County Archives**   
 Name: Jim Hofer Title: Archives Manager Date: 6 August 2012

**County Auditor-Controller**   
 Name: Frankie Ezzat Title: Chief Accountant Date: 6-7-12

**Riverside County Information Technology**   
 Name: Sebastian Partidge Title: Chief Information Security Officer Date: 2/19/12

**County Counsel**   
 Name: Tawny Lieu Title: Deputy County Counsel Date: 8/6/12

**County Risk Management**   
 Name: Jim Sessions Title: Risk Manager Date: 8/6/2012



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_PH-MCAH\_2012\_Rev02)

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

Inquiries or comments regarding this schedule should be directed to:

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

### Introduction

This Departmental Records Retention Schedule (DRRS) for the Community Health Agency/Public Health – Maternal Child and Adolescent Health (MCAH) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by MCAH 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, MCAH will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the MCAH is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the MCAH will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

MCAH will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. MCAH is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, MCAH is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

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## Explanation of Fields

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

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

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

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

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

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

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## Explanation of Codes

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

**CCP** = California Code of Civil Procedure

**CCR** = California Code of Regulations

**CFR** = Code of Federal Regulations

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

**CY** = Calendar year end

**FY** = Fiscal year end

**GC** = California Government Code

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

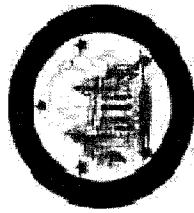
Department / Agency: Public Health / County Health Agency

Division: Maternal Child and Adolescent Health

Schedule #:

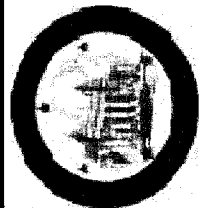
**DRRS\_PH-MCAH\_2012\_Rev02**

Section: ALL



Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
PH-MCAH 100	Client Files - Adult	Client record maintained by MCAH staff documenting all contact with the patient while in MCAH care. Records series also includes Sudden Infant Death Syndrome (SIDS) death record data.	MCAH	Last date of service + 7	22 CCR 70751	Shred/Delete
PH-MCAH 150	Client Files - Minor	Client record maintained by MCAH staff documenting all contact with the patient while in MCAH care. Records series also includes Sudden Infant Death Syndrome (SIDS) death record data.	MCAH	Age 18 + 1 year, but not less than 7 years from last date of service	22 CCR 70751	Shred/Delete
PH-MCAH-0004 PH-MCAH 200	Memoranda of Understanding	Records documenting agreements made between MCAH and other private and government organizations. Records series includes documentation of the responsibilities of MCAH and these agencies. Records series also includes annual budget, reporting needs, job descriptions, scope of work and, as appropriate, Medi-Cal factor reports with summary page.	MCAH	CL + 7	48 CFR 4.805 et seq; CCP 337; Best Practice	Shred/Delete
PH-MCAH 250	Program Records - Administration	Records related to the administration of any program under MCAH regardless of provider or funding source. Records series may include provider information.	MCAH	FY + 7	GC 26202; Audit Support; Best Practice	Shred/Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
PH-MCAH-0003	Program Records - Finance	Records related to the finances of any program under MCAH regardless of provider or funding source. Records series may include quarterly time studies, Medi-Cal factor reports, secondary documentation, i.e. calendar or daily activity reports.	MCAH	FY + 7	GC 26202; Audit Support; Best Practice	Shred/Delete	
PH-MCAH-300	Referrals - Inactive	Referrals received by programs but not activated as a case due to inability to contact the client.	MCAH	CL + 3	CCP 340.5	Shred/Delete	
PH-MCAH-0005	Reports - Annual	Report that is submitted to the State each fiscal year. The report contains three elements: the developed Scope of Work, outcomes and data points. Each of the components are reviewed and a description of the progress made toward meeting the yearly goals is added and sent to the State.	MCAH	FY + 5	GC 26202; Best Practice	County Archives	
PH-MCAH-0004	Surveys - Client	Surveys completed by MCAH clients and used to monitor performance.	MCAH	FY + 2	GC 26202	Shred/Delete	
PH-MCAH-400							
PH-MCAH-450							



# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Public Health / Community Health Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	Material Child and Adolescent Health	Schedule #:
Section:	ALL	DRRS_PH-MCAH_2012_Rev02

## SIGNATURE PAGE

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

**Department Head**  
*Susan D. Harrington*  
 Name: Susan Harrington Title: Director of Public Health Date: 5/31/12

**Records Management and Archives Program**  
*Jane Mallis*  
 Name: Tauna Mallis Title: Assistant Assessor-Clerk-Recorder Date: 8/6/12

**County Archives**  
*James D. Hofer*  
 Name: Jim Hofer Title: Archives Manager Date: 6 August 2012

**County Auditor-Controller**  
*Frankie Ezzat*  
 Name: Frankie Ezzat Title: Chief Accountant Date: 8/6/12

**Riverside County Information Technology**  
*Sebroy Partidge*  
 Name: Sebroy Partidge Title: Chief Information Security Officer Date: 8/14/12

**County Counsel**  
*Tawny Lieu*  
 Name: Tawny Lieu Title: Deputy County Counsel Date: 8/6/2012

**County Risk Management**  
*Jim Sessions*  
 Name: Jim Sessions Title: Risk Manager Date: 8/6/2012