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

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

**SUBMITTAL DATE:**  
November 26, 2013

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

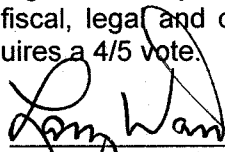
**RECOMMENDED MOTION:** That the Board of Supervisors:

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

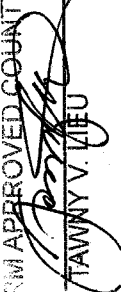
**BACKGROUND:**

**Summary**

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

  
 Larry W. Ward  
 Assessor-County Clerk-Recorder

Departmental Concurrence


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

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

**SOURCE OF FUNDS:** NA

Budget Adjustment: No  
 For Fiscal Year: NA

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

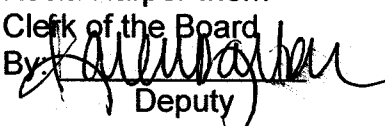
BY:   
 Karen L. Johnson

County Executive Office Signature

**MINUTES OF THE BOARD OF SUPERVISORS**

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

Ayes: Jeffries, Tavaglione, Stone, Benoit and Ashley  
 Nays: None  
 Absent: None  
 Date: December 10, 2013  
 xc: ACR, COB

Kecia Harper-Ihem  
 Clerk of the Board  
 By:   
 Deputy

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

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

3-9

## **Record Retention Schedules Listed by Department**

### **NEW SCHEDULES**

#### **Agricultural Commissioner's Office**

All sections (Attachment A)

#### **District Attorney's Office**

All sections (Attachment B)

#### **Economic Development Agency**

**Workforce Development Department**

All sections (Attachment C)

#### **Public Health**

**Fiscal**

All sections (Attachment D)

### **REVISED SCHEDULES**

#### **General Records Retention Schedule**

All departments (Attachment E)

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



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_AGC\_2013\_Rev01)

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

Inquiries or comments regarding this schedule should be directed to:

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

### Introduction

This Departmental Records Retention Schedule (DRRS) for the Agricultural Commissioner's Office (AGC) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by the Agricultural Commissioner's Office before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, the Agricultural Commissioner's Office will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Agricultural Commissioner's Office is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Agricultural Commissioner's Office will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

the Agricultural Commissioner's Office is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

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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**

**CDFA = California Department of Food and Agriculture**

**CFR = Code of Federal Regulations**

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

**CY = Calendar year end**

**FAC = California Food and Agriculture Code**

**GC = California Government Code**

**P = Permanent**

**USDA = United States Department of Agriculture**

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Agricultural Commissioner's Office  
 Schedule Type: Departmental Records Retention Schedule

Division: All

Section: All

Schedule #:

**DRRS\_AGC\_2013\_Rev01**

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

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

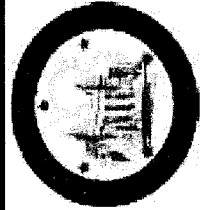
Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
AGC_CS	Investigation Reports	350		Includes completed reports of investigations of violations of local agricultural ordinances and documentation of investigative hours subject to cost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

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



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

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

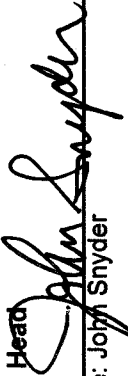


# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE


Department / Agency:	Agricultural Commissioner's Office	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	ALL	Schedule #: DRRS_AGC_2013_Rev01
Section:	ALL	

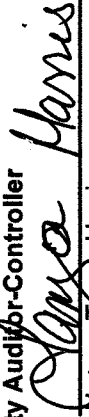
## SIGNATURE PAGE


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


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

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

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

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

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

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



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_DAO\_2013\_Rev01)

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

Inquiries or comments regarding this schedule should be directed to:

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

### Introduction

This Departmental Records Retention Schedule (DRRS) for the District Attorney's Office (DAO) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by DAO before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, the DAO will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the DAO is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the DAO will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

## Explanation of Fields

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

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

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

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

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

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

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## Explanation of Codes

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

**CCR** = California Code of Regulations

**CFR** = Code of Federal Regulations

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

**CR** = date of creation

**CY** = Calendar year end

**EC** = California Evidence Code

**FY** = Fiscal year end

**GC** = California Government Code

**P** = Permanent

**PC** = California Penal Code

**T** = Termination (of employment)

**USC** = United States Code

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: District Attorney's Office

Division: All Divisions

Section: All Sections

Schedule #:

**DRRS\_DAO\_2013\_Rev01**

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
DAO_ACC100	California Witness Relocation Assistance Program	Records related to witness relocation. May include program application, witness advisement, CalWrap agreement, communication records, rental agreements, copies of investigator timesheets, invoices, receipts, payments, claims, and program questionnaire	District Attorney's Office	FY + 7	GC 26202; Best Practice	Shred / Delete
DAO_ASF100	Administrative Asset Forfeitures	Records related to administrative asset forfeitures. Records series may include police reports, proofs of services, criminal case prints, publications and letters to agencies.	District Attorney's Office	P	Best Practice	Dept.
DAO_ASF200	Judicial Asset Forfeitures	Records related to judicial asset forfeitures. Records series may include police reports, proof of services, claims, discovery and criminal case prints, publications, court orders, letters to agencies, minutes, and distribution.	District Attorney's Office	CL + 10	GC 26202; Best Practice	Shred/Delete
DAO_ASF300	Wiretap Files	Records related to the request and administration of wiretap. Records series may include the application packet, court orders, six day reports, sealing orders, inventory postponements and the inventory packet.	District Attorney's Office	Date of Court Order or 10 years, whichever is later	PC 629.64	Shred/Delete
DAO_INV100	Confidential Informant Files	Records relating to confidential informants for the department.	District Attorney's Office	T + 10	GC 26202; Best Practice	Shred / Delete
DAO_INV150	Criminal History Check (CII) Logs	Logs documenting the case information for the name being ran by DAO employee. May include name, date of birth, case number, and name of person making the request.	District Attorney's Office	CY + 3	11 CCR 707(c); GC 26202; Best Practice	Shred / Delete

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

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

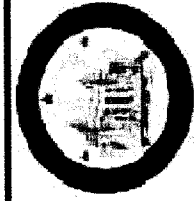


Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
DAO_ CSP450	Factual Innocence Files	Records relating to identify of the true defendant. Records may include letters sent to necessary agencies and interested parties from DAO. Background information and DMV print outs proving who the true defendant is.	District Attorney's Office	CL + 10	GC 26202; Best Practice	Shred/Delete
DAO_ CSP500	Felony Files - Death or Life Sentence	Records related to the investigation and prosecution of criminal felony cases resulting in a sentence of death or life in prison. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process.	District Attorney's Office	P	PC 799; Best Practice	Dept.
DAO_ CSP550	Felony Files - Determinate or Probation Sentence	Records related to the investigation and prosecution of criminal felony cases resulting in a determinate or probation sentence. Records series may include police reports, transcripts and other documentation and materials generated during the prosecution of the case. Records series may also include records resulting from the writs and appeals process.	District Attorney's Office	CL + 35	GC 26202; Best Practice	Shred/Delete
DAO_ CSP600	Firearm Files	Records related to the petitioner's request to own and/or possess a firearm. Records may include police reports, Department of Justice reports, discovery, the petitioner's medical records, court processing documents and court orders.	District Attorney's Office	CL + 10	GC 26202; Best Practice	Shred/Delete
DAO_ CSP650	Inmate Prosecution Demands (1381 PC Demands)	This records series may include documentation and correspondence from inmates requesting prosecution on pending Riverside County cases.	District Attorney's Office	CY + 2	GC 26202	Shred/Delete
DAO_ CSP700	Lifer Capsules	Records related to defendant's Life Sentence. May include 1203.01 PC, Victims Next of Kin (VNOK) Worksheet, Impact Statement, Information, Probation Report, Autopsy Protocol, Transcripts of defendant, All Reports, Photos, Priors, Juvenile Priors, Preliminary Hearing Transcript & Memo, Opinion, Case Print of Sentence/charges	District Attorney's Office	P	Best Practice	Dept.

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

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

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



# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

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

## SIGNATURE PAGE

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

**Department Head**

*Paul Zellerbach*  
Name: Paul Zellerbach

District Attorney  
Title

11/7/13  
Date

**Records Management and Archives Program**

*Tauna Mallis*  
Name: Tauna Mallis

Assistant Assessor-Clerk-Recorder  
Title

11/19/13  
Date

**County Archives**

*Jim Hofer*  
Name: Jim Hofer

Archives Manager  
Title

14 Nov 2013  
Date

**County Auditor-Controller**

*Tanya Harris*  
Name: Tanya Harris

Chief Accountant, General Accounting  
Title

11/19/13  
Date

**Riverside County Information Technology**

*Sevion Partidge*  
Name: Sevion Partidge

Chief Information Security Officer  
Title

11/14/13  
Date

**County Counsel**

*Tawny Liew*  
Name: Tawny Liew

Deputy County Counsel  
Title

11/19/13  
Date

**County Risk Management**

*Jim Sessions*  
Name: Jim Sessions

Risk Manager  
Title

11/19/13  
Date



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_EDA-WDD\_2013\_Rev01)

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

Inquiries or comments regarding this schedule should be directed to:

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

### Introduction

This Departmental Records Retention Schedule (DRRS) for the Economic Development Agency's Workforce Development Department (WDD) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by WDD before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, WDD will suspend destruction of the subject records until all issues of the matter are resolved. Further, if WDD is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the WDD will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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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.

**CFR** = Code of Federal Regulations

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

**FY** = Fiscal year end

**GC** = California Government Code

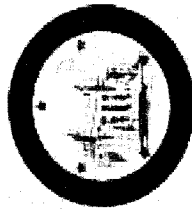
**P** = Permanent

**WIA** = Workforce Investment Act

## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Workforce Development / Economic Development Agency

Schedule Type: Departmental Records Retention Schedule



Division: All

Schedule #:

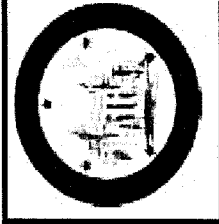
**DRRS\_EDA-WDD\_2013\_Rev01**

Section: All

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



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




# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Workforce Development / Economic Development Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	ALL	Schedule #:
Section:	ALL	DRRS_EDA-WDD_2013_Rev01


## SIGNATURE PAGE

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


### Department Head

  
 Name: Rob Field  
 Title: Asst. County Executive Officer / EDA  
 Date: \_\_\_\_\_

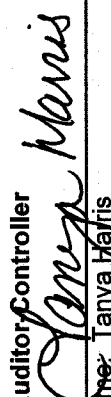
### Records Management and Archives Program

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

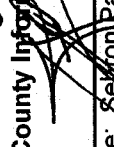
### County Archives

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


### County Auditor/Controller

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


### Riverside County Information Technology

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

### County Counsel

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

### County Risk Management

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



## County of Riverside, California Departmental Records Retention Schedule (DRRS\_PH-FCL\_2013\_Rev01)

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

Inquiries or comments regarding this schedule should be directed to:

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

### Introduction

This Departmental Records Retention Schedule (DRRS) for Public Health's Fiscal Division (PH-FCL) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by PH-FCL before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, PH-FCL will suspend destruction of the subject records until all issues of the matter are resolved. Further, if PH-FCL is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, PH-FCL will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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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.

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**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**

**CFR = Code of Federal Regulations**

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

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Schedule Type: Departmental Records Retention Schedule

Department / Agency: Public Health

Division: Fiscal

Section: All

Schedule #:

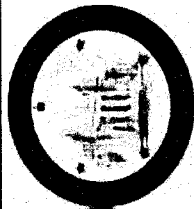
**DRRS\_PH-FCL\_2013\_Rev01**

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

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

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


# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE


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


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

**County Archives**  
  
 Name: Jim Hofer      Title: Archives Manager      Date: 14 NOV 2013

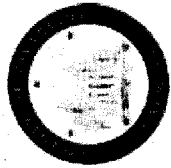
**County Auditor-Controller**  
  
 Name: Tanya Harris      Title: Chief Accountant, General Accounting      Date: 11/19/13

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

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

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





## County of Riverside, California General Records Retention Schedule (GRRS\_2013\_Rev08)

Attachment E

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

Inquiries or comments regarding this schedule should be directed to:

County of Riverside  
Records Management and Archives Program (RMAP)  
P.O. Box 751  
Riverside, CA 92502  
951-486-7151  
(County Mail Stop 2625)

### Introduction

This Countywide General Records Retention Schedule (GRRS) is adopted as per the recommendations of Board Policy A-43 and supersedes the General Records Retention Schedule (GRRS\_2012\_Rev07) adopted on August 28, 2012 as agenda item #3.20.

This schedule is written with general titles and descriptions rather than identifying specific, individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by a County agency before disposition may be implemented. These retention requirements are recommended as the appropriate maximum retention period enabling the County to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including departmental copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by a department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, the department will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the department is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the department will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

## Explanation of Fields

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

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

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

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

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

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

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

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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\_2013\_REV08

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

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACC350	Payroll	Records created to track the payroll of department employees. Records indicate anniversary dates, vacation and sick leave accumulations, hours worked, labor and overhead distribution reports and PEOPLESOFT reports.	Auditor Controller & Dept.	T + 75	Audit support; see also 29 CFR 516.5(a)	Shred / Delete
ACC400	Payroll - garnishments	Records related to garnishments from a County employees pay. May include accounting documents and orders.	Auditor Controller & Dept.	T + 75	Audit support; see also 29 CFR 516.6(c); Best Practice	Shred / Delete
ACC450	Transaction Summaries	Journals, registers, and subsidiary ledgers dedicated to individual funds or functions. May include accounts payable & receivable, expenditures, investments, properties and revenue, cash disbursements, cash receipts, vouchers and warrants.	Auditor Controller & Dept.	FY + 7	GC 26907; Audit Support	Shred / Delete
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		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GC 26202; Audit Support	Shred / Delete
ADM375	Grand Jury Reports - official copy	The official report issued by and responses to a County grand jury completed after studying the operations of any public agency subject to its reviewing authority. The County Clerk holds the Copy of Record with another copy provided to the State Archivist both of which are held permanently.	County Clerk	P	PC 933(b-c)	County Clerk (PC 933(b))
ADM400	Grand Jury Reports - work papers	Departmental copies of reports issued by and responses to the County grand jury completed after studying the operations of any public agency subject to its reviewing authority. Departmental copies may not be held longer than the copy on file with the currently impaneled grand jury, which has a mandated retention of at least five years.	Dept.	CY + 5	PC 933(c)	County Archives
ADM425	Grants	Records related to the application, award, implementation and conclusion of a grant. All records including those related to the receipt and dispersal of grants funds, contract and reports. Grant records should be maintained together. Records may include the proposal document, correspondence, activity summary reports, financial and performance reports, memos, notes, invoices, billings, expense reports, completion check-off form, audit results, etc.	Dept.	CL + 7	49 CFR 18.42(b); audit support and as required by the terms of the grant; Best Practice	Shred / Delete
ADM450	Policy & Procedure - Boards and Commissions	Records documenting the policies and procedures approved for the County's Board of Supervisors and various committees and commissions. May include final policy, policy statements, by-laws and procedure manuals.	Clerk of the Board, subject body or supporting County department.	P	Best Practice	County Archives

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ADM475	Policy & Procedure - departmental	Records documenting departmental policy and procedure. May include final policy, policy statements, procedure manual. May also include mission statements and organizational charts.	Dept.	REV + 3	GC 26202; Best Practice	County Archives
ADM480	Policy & Procedure - program	Records documenting the policies and procedures governing the operations of Countywide public and/or County employee programs. May include final policy, policy statements, by-laws, and procedure manuals.	Dept. responsible for implementing	REV + 3	GC 26202; Best Practice	County Archives
ADM500	Public Information / Media	Records created for distribution announcing matters related to county business or administrative operations. May include press releases, newsletters, slides, negatives, video, photographs, etc. Photographic (image) records should include full identification (dates, names, places and occasion) for each image.	Dept.	CY + 2	GC 26202	County Archives
ADM505	Public Records Requests	Records distributed to the public in response to a public records request. Records series includes the original request, the department response and a 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 must also include authorized signature lists.	Dept. and ACR-RMAP	P	CSA and Best Practice	Dept. and ACR-RMAP
ADM600	Records Retention Schedule	An approved records retention schedule that furnishes public agencies with legal authority to determine final disposition of their records regardless of their format.	Dept.	REV + 4	GC 26202; CCP 343	Shred / Delete

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



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

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

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

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

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

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

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

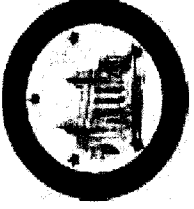
Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
PER200	Corrective or Disciplinary Actions - Supervisors' copies	Supervisors' reference copies of records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Records may include arbitration decisions, demotions, documents pertaining to the action taken for reconsideration or appeal, employee discipline matters, investigation reports, notice of appeals, notice of discipline, records pertaining to adverse job actions, suspensions, terminations and written reprimands.	Dept.	CR + 2	29 CFR 1602.31; Best Practice	Shred / Delete
PER250	Employee Expense (Travel) Reports	Records related to employee travel on County business including justification. May include correspondence, requests, authorizations, itineraries, record of travel advances and expense reports.	Auditor Controller	FY + 7	GC 26202; Audit Support	Shred / Delete
PER300	Leave of Absence Reports / Requests	Records related to any employee request for leave of absence. May include a leave of absence (medical or non-medical) under the Family Medical Leave Act (FMLA), California Family Rights Act (CFRA) or Pregnancy Disability Leave Act (PDL). May also include requests for educational leave, military leave - The Uniformed Services Employment and Reemployment Rights Act (USERRA), California Military Spouse Leave Law (AB392). Series includes reviews, medical certificates and working documents.	County Human Resources	CL + 7	GC 26202	Shred / Delete
PER350	Leave Reports / Requests	Records related to employee requests for annual leave, vacation, holiday, comp, or sick leave under County rules. May include approvals or reports for leave time unrelated to requests under the Family Medical Leave Act, California Family Rights Act or Pregnancy Disability Leave Act.	Dept. Human Resources	FY + 3	29 CFR 825.500; 29 CFR 1602.30; 29 CFR 1602.32	Shred / Delete
PER375	Medical Records - Employees	Records concerning the health status of an employee which is made or maintained by a physician, nurse, or other health care personnel. Records series may include dates of treatment, evaluations, medical health questionnaires or history, medical record subpoenas, return to work paperwork, and/or treatment plan diagnosis.	Dept. and County Human Resources	T + 30	8 CCR 3204(d)(1)(a) and 3204c (5); 29 CFR 1910.1020(d)(i) and 1910.1030(h)	Shred / Delete



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

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

# COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

	Schedule Type: General Records Retention Schedule (GRRS) Schedule #: <b>GRRS_2013_Rev08</b>
Department / Agency: All Departments	
Division: All Divisions	
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

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

### County Archives

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

### County Auditor-Controller

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

### Riverside County Information Technology

Name: Seben Partridge Title: Chief Information Security Officer Date: 11/14/13

### County Counsel

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

### County Risk Management

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