

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

2233



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

SUBMITTAL DATE:
September 14, 2016

SUBJECT: Approval of Departmental Records Retention Schedules and General Records Retention Schedule [District All, \$0.00]

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached revised Departmental Records Retention Schedule for County Human Resources;
2. Approve the attached new Departmental Records Retention Schedule for the Parking Division of the Economic Development Agency;
3. Approve the attached revised General Records Retention Schedule for the County of Riverside.

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 Records Retention Schedules 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.

Peter Aldana
Peter Aldana
Assessor-County Clerk-Recorder

Departmental Concurrence

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 *Stephanie Persi*
Stephanie Persi

County Executive Office Signature

MINUTES OF THE BOARD OF SUPERVISORS

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

Ayes: Jeffries, Tavaglione, Washington, Benoit and Ashley
Nays: None
Absent: None
Date: October 4, 2016
xc: ACR

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

Prev. Agn. Ref.: 3-4:3/15/16; 3-10:1/10/12 | **District:** All | **Agenda Number:**

3-4

mt 2233

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

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2016 SEP 27 PM 2:17

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

FORM 11: Approval of revised Departmental Records Retention Schedule

DATE: March 15, 2016

PAGE: Page 2 of 2

Impact on Citizens and Business

The citizens of Riverside County benefit from the efficiencies gained through the application of generally accepted recordkeeping principles.

SUPPLEMENTAL:

Additional Fiscal Information

None

Contract History and Price Reasonableness

None



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_EDA_PARK_2016_Rev01)**

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2016-126, "Pertaining to the Management, Retention, Destruction or Disposition 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 751
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Economic Development Agency, Parking Division 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 department 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, public 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.9)

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

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 official 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 official record for the period specified.

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

Explanation of Codes

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

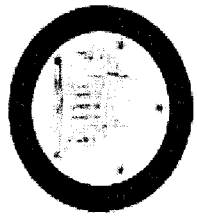
CCP = California Code of Civil Procedure

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

CY = Calendar year end

FY = Fiscal year end

GC = California Government Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Economic Development Agency	Schedule Type: Departmental Records Retention Schedule
Division: Parking	Schedule #: DRRS_EDA-PARK_2016_Rev01
Section: All	

With full consideration given to the preservation of the historic records of the County, the undersigned hereby certifies that this retention schedule conforms to the legal and regulatory requirements and best business practices known at this time.

Department Head: *[Signature]*

Rob Field, Assistant County Executive Officer / EDA

Date: 5/17/16

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
EDA_PARK 100	Applications - Parking	Records documenting the request for access cards and/or parking permits or permissions. Records series may include requests for replacement items and renewals.	EDA / Parking	CL + 7	GC 26202; Audit Support	Shred / Delete
EDA_PARK 200	Daily Citation Log	The daily activity record of citations issued by each officer. Citations are maintained for the same period as records related to payment due.	EDA / Parking	FY + 7	CCP 343; GC 911.2; GC 26202; Audit Support	Shred / Delete
EDA_PARK 300	Daily Import Confirmation Report	Daily report generated by combining all citations issued and downloaded each day.	EDA / Parking	CY + 4	CCP 343; GC 911.2; GC 26202	Shred / Delete
EDA_PARK 400	Enrollment Change Forms	Records related to the adding, changing or canceling monthly account contributions.	EDA / Parking	CL + 7	GC 26202; Audit Support	Shred / Delete
EDA_PARK 500	Officer Field Reports	Records related to documented contact with the public. Records series may include accident reports, administrative citations, and incident reports.	EDA / Parking	CY + 4	CCP 343; GC 911.2; GC 26202	Shred / Delete

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
EDA_	PARK	600	Parking Citation Review	Records related to the review and decision process of disputed parking citations. Records series may include request for review, citation, and outcome letters indicating voided or denied. A denied letter provides further instruction on how to make payment.	EDA / Parking	FY + 7	CCP 343; GC 911.2; GC 26202; Audit Support	Shred / Delete



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_CHR_2016_Rev03)**

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2016-126, "Pertaining to the Management, Retention, Destruction or Disposition 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 751
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the County Human Resources is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 10, 2012 as agenda item 3.10.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by the department 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, public 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.9)

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.

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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 Records: The agency or department responsible for the county's official record.

Official Record Retention: The length of time that the official 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 official record for the period specified.

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

Explanation of Codes

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

BP = California Business and Professions Code

CCP = California Code of Civil Procedure

CCR = California Code of Regulations

CFR = Code of Federal Regulations

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

CR = Creation (of the record) date

CU = Current

CY = Calendar year end

EPPA = Employee Polygraph Protection Act (1988)

ERISA = Employee Retirement Income Security Act (1974)

FY = Fiscal year end

GC = California Government Code

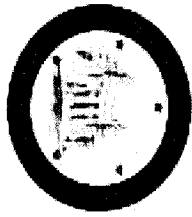
OSHA = Occupational Safety and Health Administration

P = Permanent

REV = (Until) Revised or superseded

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

USC = United States Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: County Human Resources

Schedule Type: Departmental Records Retention Schedule

Division: ALL

Schedule #:

Section: ALL

DRRS_CHR_2016_Rev03

With full consideration given to the preservation of the historic records of the County, the undersigned hereby certifies that this retention schedule conforms to the legal and regulatory requirements and best business practices known at this time.

Department Head:

[Signature]
 Michael Stock, Assistant CEO / Human Resources Director

Date:

8/17/2016

Code	Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
Benefits (BEN)							
CHR-BEN100	Actuarial Records		Records documenting the Actuarial Analysis of a specific Program. Records may include any documents, spreadsheets, financial, or loss data that is provided for the preparation of an actuarial report for any Health and Welfare Plan, Risk Management or Workers' Compensation Program.	County Human Resources	T + 4	GC 26202; Best Practice	Shred / Delete
CHR-BEN150	Benefit Plan Descriptions & Policies		Records documenting the Health, Welfare and Pension plans offered by the County of Riverside. Includes information pertaining to employee benefit plans such as medical, vision, dental, pension, life insurance, short-term disability, long-term disability, and life insurance as well as copies of any seniority systems and merit systems that are in writing.	County Human Resources	T + 4	29 CFR 1627.3(b)(2); Best Practice	Shred / Delete

Code		Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-BEN200	Benefit Plan Summaries	Records documenting the Health, Welfare and Pension Plans offered by the County of Riverside. Includes Summary Plan Documents (SPD) and Summaries of Material Modifications (SMM). Plan documents cover cafeteria plans, life insurance, short term and long term disability plans, dependent care assistance program (DCAP) plans, qualified transportation plans, educational assistance program documents, and records showing fiduciary responsibility.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred/Delete	
CHR-BEN250	Benefit Tracking	Records pertaining to employees selection of life, disability, health, and other types of insurance offered by the County of Riverside. May include confirmation of election, monthly statements, correspondence (to employee, beneficiaries or others), notices, and responses to service provider inquiries.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete	
CHR-BEN300	Claim Records	Documentation used in the payment of employee health and death benefit claims, or payment to non-employees under liability policies. May include administrative processes, appeal forms, authorization forms, benefit approval and payment records, claim documents filed by plan participants or beneficiaries, claim procedures, death claims, denial review forms, documentation regarding decision periods, extension notices, forms used by the plan in claims processing, payment requests, plan explanations, protocols and urgent care claims.	County Human Resources	CL + 8	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete	
CHR-BEN350	Deferred Compensation - Nationwide / AIG Retirement	Records pertaining to deferred compensation plans including the 457 Plan. Includes enrollments, contribution and investment changes and distribution requests.	County Human Resources	CL + 10	GC 26202: Best Practice	Shred / Delete	

Code		Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-BEN400	Disability & Industrial Retirement	Records related to the Disability & Industrial Disability Retirement Program. Includes the application for an industrial disability retirement by County of Riverside safety members, medical examination report, correspondence, privileged documents between the Return to Work Human Resources Services Manager and the Defense Counsel and signed authorization of employee/participant for a release of information in the industrial disability retirement investigative process.	County Human Resources	CR + 100	GC 26202; Best Practice	Shred / Delete	
CHR-BEN450	Enrollment, Election & Eligibility	Records documenting the Health, Welfare and Pension Plans offered by the County of Riverside. Includes documents showing coverage; premium; beneficiary designations and communications with insurers and lists. May also include documentation to substantiate eligibility (including records documenting Qualified Medical Child Support Orders and National Medical Support Notices), eligible classes of employees and conditions, salary reduction elections and election changes, and termination of eligibility for cause.	County Human Resources	CL + 8	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete	
CHR-BEN500	Exclusive Care - Administration	Records related to the administration of the Exclusive Care Program. May include accounting records, appeals, audits, complaints, correspondence, medical and hospital claims, minutes from physicians review meetings, phone logs, provider credentialing minutes.	County Human Resources	CL + 6	45 CFR 164.530(j)	Shred / Delete	

Code	Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-BEN550	Exclusive Care - Contracts and Agreements	Records related to the administration of contracts and agreements pertaining to the Exclusive Care Program. Include agreements with non-contracted providers, contracts, correspondence, exclusive provider organization exhibit and provider profile, medical contractor agreement, plan documents, provider credentialing, supporting spreadsheets and worksheets.	County Human Resources	CL + 6	45 CFR 164.530(j)	Shred / Delete
CHR-BEN600	Flexible Spending Account (FSA) - County Administered Plan	Records documenting the administration of the Flexible Spending Account. Includes claim forms, deduction registers, demographic reports, denials, deposit reconciliations, election reports, explanation of benefits and FSA plan descriptions.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN650	Health Insurance Portability and Accountability Act (HIPAA) Compliance	Records documenting the privacy administration of the Health, Welfare and Pension Plans offered by the County of Riverside. May include complaint logs or notices, evidence of creditable coverage, individual preexisting condition exclusions, individual requests for additional privacy protections, individual requests to inspect and copy records under the privacy rule, request to amend or correct personal health information, requests for accounting disclosures and requests for alternative communications.	County Human Resources	CL + 6	45 CFR 164.530(j); 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN700	Premium Payments	Records documenting payments made to benefit plans offered by the County of Riverside. Records series may include calculations and other data prepared by an enrolled actuary and documents necessary to support or to validate premium payments.	County Human Resources	CL (Premiums due) + 6	29 CFR 4007.10; 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete

Code		Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-BEN750	Privacy or Security Breaches	Records documenting privacy or security breaches of benefit plans offered by the County of Riverside. Records may include documents concerning complaints received and their disposition, complying with security rule standards and implementation specifications, harmful effects resulting from improper use or disclosure of personal health information and security rules or procedures.	County Human Resources	CL + 6	45 CFR 164.414 (a); 45 CFR 164.530(j); 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete	
CHR-BEN800	Retirement Benefits - County Administered Plan	Records documenting County administered retirement benefits including records related to employee pension and insurance plans, which should be kept for the full period that the plan or system is in effect or any period in which benefits may be due or become due under the plan. May include enrollment cards, summaries of contributions and deductions, personal data forms, beneficiary information and authorizations.	County Human Resources	CR + 100	29 CFR 1627.3(b)(2); 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete	
CHR-BEN850	Waiver records	Records documenting an employee's decision to decline offered benefits. Records will show name, social security number, employment section or division, date and signature.	County Human Resources	T + 2	GC 26202; Best Practice	Shred / Delete	
Compensation (COM)							
CHR-COM100	Classification and Appointments	Records detailing the process of systematically determining the relative value of County positions. Includes development and analysis of job descriptions and classification specifications including salary survey data. May also include annual guidelines, pay plans, relevant correspondence, and documents relating to wage and salary rates that are used for payroll comparison purposes and to demonstrate compliance with the federal Equal Pay Act.	County Human Resources	FY + 3	29 CFR 516.6(a)(2); 29 CFR 1602.32	Shred / Delete	

Code	Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-COM150	Compensation	Records detailing the process of determining compensation for time away from work. Includes authorization for compensating time off and for extra hours/overtime, employee leave accrual and usage records where compensation was paid, record of hours worked and of wages paid, records of additions to or deductions from wages work/shift schedules, reports required by the Secretary of Labor, unemployment compensation contributions, wage rate tables, and withholding and deduction documentation. May also include documents concerning overpayments and payroll reimbursements.	County Human Resources	FY + 7	29 CFR 1627.3(a)(5) and (6); Best Practice	Shred / Delete
CHR-COM200	Occupational Group Study and Related Records	Records related to the development and analysis of job families within the County's classification plan. Records may include copies of approved and/or draft Form 11 requests, classification specifications, correspondence, difficult to recruit forms, meeting notes, position description questionnaires, parity study reports, Resolution 440 amendments, and study status logs. Records may also include those documenting the administration of the obsolete IT Competency Pay Program.	County Human Resources	FY + 10	GC 26202; Best Practice	Shred / Delete
CHR-COM250	Personnel Studies and Surveys	Studies, statistical reports, surveys, memoranda, cost analyses, projections, and comparable records that examine any long-range aspect of personnel administration. Records may include 440 Ordinances, 440 Resolutions, class and salary listings, salary schedules (wage rate tables) and classification specifications.	County Human Resources	P	Best Practice	Dept.

Code	Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-COM300	Tax Records - Employment	Records related to the collection and reporting of employment taxes for each employee. Includes name, address, social security number and basic demographics; compensation data including amounts and dates of actual payment and documentation to substantiate, and tax records that include amounts of wages subject to withholding, actual taxes withheld and documentation to substantiate.	County Human Resources	FY + 7	26 CFR 31.6001-1(e)(2); audit support	Shred / Delete
CHR-COM350	Tax Records - Withholding	Records related to the authorized withholding of federal, state and local taxes. Includes copies of employees' and recipients' income tax withholding allowance certificates (Forms W-2, W-4, W-4P, W-4S, and W-4V). Records series may also include copies of these forms that were returned as undeliverable.	County Human Resources	REV + 7	26 CFR 31.6001-1(e)(2); Best Practice	Shred / Delete
Health and Safety (HSA)						
CHR-HSA100	Accident and Safety Reports	Records related to the scheduled and unscheduled inspections of work areas with the purpose of identifying unsafe conditions and work practices. May include periodic safety evaluations, Bureau of Labor Statistics (BLS) Annual Reports, OSHA Citations and Correspondence. Records series may also include documentation of actual, alleged or reported workplace violence including specific details such as names, issues, department, supervisors, phone numbers and signatures.	County Human Resources	CY + 5	8 CCR 3203(b)(1); 8 CCR 14300.33(a)	Shred / Delete

Code		Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR- HSA150	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, or technician including dates of treatment, evaluations, medical health questionnaires or history, medical record subpoenas, treatment plan diagnosis. May also include records related to and supporting a written report from the Safety Division following a review of a County employee's worksite. These evaluations are conducted at the request of (1) an employee's Supervisor or (2) Workers Compensation, as a result of a workers compensation claim being filed. Records series may include employee's job duties, a review of work station prior to evaluation, work practices, training, assessment, immediate improvements and recommendations.	County Human Resources	T + 30	8 CCR 3204(d)(1)(a); 29 CFR 1910.1020(d)(i); 29CFR1910.1020 (d)(i)(i)	Shred / Delete
CHR- HSA200	Motor Vehicle Pulls (DMV) - Driving Records			Records related to the employee's authorization to operate a vehicle. Records series may include driver's log, certification, driver proficiency records, drug-alcohol testing log, copies of licenses.	County Human Resources	CU + 4	GC 26202; Best Practice	Shred / Delete
CHR- HSA250	Motor Vehicle Pulls (DMV) - Drug and Alcohol Testing: Driver Alcohol Testing and Results			Records related to driver alcohol levels. Records may include administration records of the alcohol and controlled substances testing programs, annual calendar year summary required by section 49 CFR 382.403, calibration documentation, controlled substances collection process records, driver alcohol test results (negative, cancelled, or concentration of 0.02 or greater), driver evaluation and referrals, driver verified positive controlled substances test results and refusals to take required alcohol and/or controlled substances tests.	County Human Resources	CU + 5	49 CFR 382.401(b)	Shred / Delete

Code		Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-HSA300	Motor Vehicle Pulls (DMV) - Drug and Alcohol Testing: Education and Training	Records related to Drug and Alcohol Testing education and training. Records may include documents surrounding the collection process and collection log books, drivers training records (maintained while the employee performs the functions that require the training and for two years after ceasing to perform those functions), education and training of breath alcohol technicians, screening for test technicians and supervisors training.	County Human Resources	T + 2	49 CFR 382.401(b)(4)	Shred / Delete		
CHR-HSA350	Safety Program - Employee Files	Records retained to confirm participation in and successful completion of safety training programs. May include Department of Transportation records, Authorization to Drive County Vehicle or Private Vehicle on County Business (Form 30), Vehicle Accident Review Board (VARB) records and appeals, vehicle accident reports and supporting documentation. See also County Safety Operations Manual and Salary Ordinance 440.	County Human Resources	CY + 5	8 CCR 3203(b)(2)	Shred / Delete		
CHR-HSA400	Safety Program - Training and Evaluation	Records related to the analysis and evaluation of the effectiveness of employee health and safety training programs. Includes safety training records containing: name of class, date of class, list of those registered, list of those who attended and copies of any tests administered. Also includes studies, analyses, cost data, and similar records concerning employee accidents and comparable records pertaining to accident prevention and safety.	County Human Resources	CY + 5	GC 26202; OSHA 3148-01R 2015	Shred / Delete		

Code	Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
Personnel (PER)							
CHR-PER050	Advancement and Promotional Records		Records documenting the internal announcements or advertisements of promotional or advancement opportunities. Includes applications, resumes, interview records, evaluations, letters of recommendation, test results and final list.	County Human Resources	CL of process + 3	29 CFR 1627.3; Best Practice	Shred/Delete
CHR-PER100	Affirmative Action Plans		Affirmative action plans for both regular employees and apprenticeship programs. Records series includes records of employees and unhired applicants that demonstrate compliance with the statutes and regulatory requirements of the Equal Employment Opportunity Commission (EEOC), including reports, plans, statistical data, and other source material used to complete EEO-4 reports.	County Human Resources	CY + 5	29 CFR 1602.32; 29 CFR 30.8(e)	County Archives
CHR-PER150	Application and Selection Files		Records documenting the internal and external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime. Includes applications, resumes, interview records, evaluations, letters of recommendation, references from previous employers.	County Human Resources	Successful: place in Personnel File; Unsuccessful: Close of Process + 3	29 CFR 1627.3; 29 CFR 801.30 (EPPA); 29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete
CHR-PER160	Assessment Records - Fit for Duty and Workplace Violence		Psychological assessment records generated at the request of the County of Riverside when an employee behaves at the workplace in a manner that suggests a mental health issue or a risk for workplace violence.	County Human Resources	T + 75	GC 26202; BP 2919; Best Practice	Shred / Delete

Record Series		Code	Title	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR- PER165	Assessment Records - Pre-employment / Promotional / Arming (Hired)		Psychological assessment records generated per state or POST requirements for employees who work in dispatch positions, who will have peace officer powers or who will work in sensitive correctional positions. May also include psychological assessment consultations generated at the request of Occupational Health due to concerns about a potential mental health issue in an applicant.	County Human Resources	T + 75	GC 26202; BP 2919; Best Practice	Shred / Delete	
CHR- PER170	Assessment Records - Pre-employment - Adult (Not Hired)		Psychological assessment records generated per state or POST requirements for employees who work in dispatch positions, who will have peace officer powers or who will work in sensitive correctional positions. May also include psychological assessment consultations generated at the request of Occupational Health due to concerns about a potential mental health issue in an applicant.	County Human Resources	CR + 7	BP 2919	Shred / Delete	
CHR- PER175	Assessment Records - Pre-employment - Minor (Not Hired)		Psychological assessment consultations generated at the request of Occupational health due to concerns about a potential mental health issue of an applicant.	County Human Resources	7 years from the date the patient reaches age 21	BP 2919; Best Practice	Shred / Delete	

Code		Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR- PER200	Collective Bargaining Agreements		Records documenting the process whereby workers organize collectively and bargain with employers regarding the workplace. Includes contracts, minutes, recordings, reports of collective bargaining negotiations/meetings, and associated correspondence and exhibits. May also include arbitration, arbitrator's recommendations, costing spreadsheets, memorandums of agreements (MOA) or memorandums of understanding (MOU), plans and trusts if a part of the union contract, research background material, strike contingency plans, tentative agreements, and union requests. May include documents/records pertaining to Labor Management Committee (LMC) meetings such as minutes, agendas.	County Human Resources	P	29 CFR 516.5(b)(3); Best Practice	County Archives	
CHR- PER250	Corrective or Disciplinary Actions/Grievances		Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Also including the review of employee grievances regarding grievance petitions, personnel policies, working condition and step 1, 2, and 3 decisions. 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.	County Human Resources	CL + 10	29 CFR 1602.31; Best Practice	Shred / Delete	

Code	Title	Record Series Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR- PER300	Discrimination External/Internal C-25-Harassment, and Retaliation Complaint Records	Records pertaining to Disability and/or Discrimination, Harassment, and Retaliation Complaints. Includes any personnel or employment record made or kept by the employer where a charge of discrimination has been filed or an action brought by the Commission or the Attorney General, against an employer under title VII or the ADA. Records may also include County responses to complaint charges, documentation of the charge, external charges filed, decisions and judgments pertaining Equal Employment Opportunity Commission (EEOC) and the Department of Fair Employment and Housing (DFEH) Complaints and Public Employment Relations Board (PERB) by a labor union, bargaining unit member or County alleging violation of Meyers-Millas-Brown Act and Public Employment Relations Board complaints or rulings. All investigative documents and attachments, related correspondence, right-to-sue, and withdrawal notices. May include C-25 harassment complaints, closure letters to reflect substantiated or unsubstantiated charges, decisions, internal investigation forms, investigative documents and attachments and records related to the discrimination complaint.	County Human Resources	CL + 10	29 CFR 1602.14; 29 CFR 1602.30; Best Practices	Shred / Delete
CHR- PER350	Employee History / Service Record	Records documenting the history of individuals' employment with the County of Riverside and retained in order to verify individuals' employment. Records series may include name, social security number and employee number, date of birth and other vital statistics, dates of employment, positions held, wage and salary rates, and similar information summarizing a person's employment history.	County Human Resources	T + 75	GC 26202; Best Practice	Shred / Delete

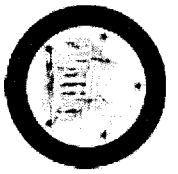
Code		Record Series		Official Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
CHR- PER400	Position Assessment Records	Records related to requests for recruitments from departments. Records may include advertising records for open positions, applications and application history, bilingual designation, contact information, county employee resume, documentation of the position [location, manager, position#], documentation of the results of each step in the requisition procedure, education extraction, electronic database record retention, employment denials, ethnicity disclosures, internal postings of open positions, interview history, items identified and qualification criteria, job bulletins, job orders submitted by the employer for recruitment, rating sheets, list of names resulting from the search/query, list of skills from resume, notation of position analysis, notes regarding qualifications/non-qualifications, reference checks, references to requisitions, results of search including criteria used, resumes (paper or electronic) and writing samples.	County Human Resources	CL of the Process + 3	29 CFR 1602.31; GC 12946; Best Practice	Shred / Delete	
CHR- PER450	Reasonable Accommodation Records	Records pertaining to requests for Disability Accommodation. Includes documentation of ADA self-evaluation, description of areas examined, problems identified and modifications made. May also include job specification, medical documentation of disability, medical inquiries, medical release form, qualification/non-qualification of person/disability, sign language request form, work accommodation request and agreement forms.	County Human Resources	T + 3	29 CFR 1602.14; 29 CFR 1602.31; 29 CFR 1602.32	Shred / Delete	
CHR- PER500	Work Authorization	Records related to an employee's authorization to work in the United States. Includes Form I-9 for each employee hired after November 6, 1986. I-9 forms should be kept in a file separate from other personnel records. May also include student work permits.	County Human Resources	CR + 3 or T + 2, whichever is later	GC 26202; US Citizenship and Immigration Services	Shred / Delete	

Code	Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
Program Records (PRO)							
CHR-PRO100	Educational Support Program		Records pertaining to the Educational Support Program. Records may include authorization to recover funds, career development plan, career interest inventory, copy of performance evaluation, copy of resume, educational support program 20/20 contract, justification forms, loan repayment file, participant file, program application, proof of current student loans, proof of textbook and tuition cost, reimbursement request form, signed authorization to recover funds form, signed acknowledgement of policies and procedures, transcripts and tuition reimbursement forms.	County Human Resources	CL + 6	29 USC 1001 et seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-PRO150	Employee Assistance Program - Adult		Records pertaining to the Employee Assistance Program. Records series includes reports, assessments, consultations, questionnaires, interview sheets, correspondence and similar records relating to the counseling of clients. Records series may also include employee assistance activity program reports, Exclusive Care activity reports, and Risk Management medical malpractice reports.	County Human Resources	Last date of entry + 7	BP 2919	Shred / Delete
CHR-PRO155	Employee Assistance Program - Minor		Records pertaining to the Employee Assistance Program. Records series includes reports, assessments, screenings, questionnaires, interview sheets, correspondence and similar records relating to the counseling of clients. Records series may also include employee assistance activity program reports, Exclusive Care activity reports, and Risk Management medical malpractice reports.	County Human Resources	7 years from the date the patient reaches age 18	BP 2919	Shred / Delete
CHR-PRO160	Occupational Health - Patient Files		Records pertaining to Occupational Health Injury Intervention Therapy Program. Records series includes, notes, correspondence, questionnaires, documentation, and similar records pertaining to the IIP program.	County Human Resources	Last date of visit + 10	22 CCR 70751(c); Best Practice	Shred / Delete

Code		Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-PRO165		Occupational Health - Respiratory Fit Test		Records Pertaining to Respiratory Fit Testing of Non-Employee or Contract Employees. Record series may include; respiratory fit tests, questionnaires, sign in sheets and documentation related to respiratory fit testing.	County Human Resources	Last date of visit + 10	29 CFR 1920.134(m)(2) (ii); Best Practice	Shred / Delete
CHR-PRO200		Return to Work Program - Employee Records		Records related to the Return to Work Program. Includes all documentation concerning paid or unpaid leave status, any dispute or complaint from an employee concerning any legislative leave, benefit premium information, documentation detailing the dates and hours requested for any legislated leave, employee requests for and notices given related to leaves of absence.	County Human Resources	CL + 3	GC 26202; Best Practice	Shred / Delete
CHR-PRO250		Ride Share		Records related to the County's Ride Share Program. Includes program enrollment and expense documentation such as survey data, expense reports, feasibility studies, Inland Transportation Services inventory and other documentation showing actual usage and sustainability of the program.	County Human Resources	CY + 3	South Coast Air Quality Management District (AQMD) requirements	Shred / Delete
CHR-PRO300		Wellness Program Biometric Data		Laboratory data collected as part of the countywide Wellness program and health study. Data is used for statistical analysis and program success evaluation.	County Human Resources	CY + 7	GC 26202; Best Practice	Shred / Delete
Risk Management (RM)								
CHR-RM100		Audit Reports - Internal		Records maintained to analyze claims and loss data in order to evaluate County insurance exposure.	County Human Resources	FY + 7	BP 5097(e)	Shred / Delete
CHR-RM150		General Liability and Professional Liability Claims		Records maintained as documentation of claims for or against the County. Records establish the facts that support or negate liability. Records series may include photographs, diagrams, interviews and reports.	County Human Resources	CL + 20	GC 26202; Best Practice	Shred / Delete

Code		Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-RM200	General Liability Claims - Business Rules	Business rules related to the handling of liability claims for the County. This manual is maintained in order to ensure the consistent handling of claims per County of Riverside policy.			County Human Resources	P	Best Practice	Dept.
CHR-RM250	Insurance Policies - Certificates	Certificates issued as proof of insurance coverage and provided to third parties as such.			County Human Resources	CL + 2	GC 26202	Shred / Delete
CHR-RM300	Insurance Policies - Applications	Applications to County insurance programs qualifying departments and physicians (malpractice) for coverage under the County's policy.			County Human Resources	CL + 7	BP 5097(e)	Shred / Delete
CHR-RM350	Structured Settlements	Records documenting the assignment of annuities in a structured settlement of claims. Annuities can contain provisions of payments to minor claimants in excess of 20 years into the future.			County Human Resources	CL + 30	BP 5097(e); Best Practice	Shred / Delete
CHR-RM400	Worker's Compensation - Claims	Records related to the administration of the County's self-insured program and related claims. Includes all notices sent to the employee whether the claim is an indemnity or medical-only claim. Records series may also include accident reports; claim forms; hospital, physician and emergency medical service bills and reports; correspondence; legal papers; and other documentation relating to claims eligible under worker's compensation laws.			County Human Resources	CL + 7	8 CCR 10102(a); 8 CCR 15400.2; Best Practice	Shred / Delete
CHR-RM410	Worker's Compensation - Permanent Disability	Records related to the administration of the County's self-insured program and claims related to a finding of permanent disability. Includes all notices sent to the employee whether the claim is an indemnity or medical-only claim. Records series may also include accident reports; claim forms; hospital, physician and emergency medical service bills and reports; correspondence; legal papers; and other documentation relating to claims eligible under worker's compensation laws.			County Human Resources	CL + 7	8 CCR 10150.3(a)	Shred / Delete

Code	Title	Record Series	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
CHR-RM450	Workers' Compensation - Record Only		Records related to the administration of the County's self-insured program and related claims of injury where no treatment was received beyond first aid and no claim number was assigned.	County Human Resources	CY + 5	GC 26202; 8 CCR 9771.83	Shred / Delete



**County of Riverside, California
Departmental Records Retention Schedule
(GRRS_2016_Rev10)**

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2015-139, "Pertaining to the Management, Retention, Destruction or Disposition 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 751
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This General Records Retention Schedule (GRRS) is adopted as per the recommendations of Board Policy A-43 and supersedes the General Records Retention Schedule (GRRS_2013_Rev09) adopted April 5, 2016 as agenda item #3-4.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by the department 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 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, public 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.9)

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

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 official 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 official record for the period specified.

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

Explanation of Codes

AU = After Audit is settled

CFR = Code of Federal Regulations

FY = Fiscal year end

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

CL = Closed, which will also mean after final resolution (as in an inquiry or litigation) after expiration (as in a contract) after final payment, etc.

GC = California Government Code
P = Permanent

AV = Retained as long as Administratively Valuable

A record is considered "closed" when no further action is pending or required.

PC = California Penal Code

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

CR = Creation (of the record) date

R & TC = California Revenue and Tax Code

CU = Current

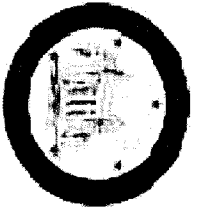
REV = (Until) Revised or superseded

CY = Calendar year end

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

CCP = California Code of Civil Procedure

EPPA = Employee Polygraph Protection Act (1988)



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: All Departments	Schedule Type: General Records Retention Schedule (GRRS)
Division: All Divisions	Schedule #:
Section: All Sections	GRRS_2016_REV10

With full consideration given to the preservation of the historic records of the County, the undersigned hereby certifies that this retention schedule was developed in compliance with countywide standards and policies and conforms with accepted records and information management practices.

RMAP Officer: *Rebekah Marshall*
 Rebekah Marshall, CRM
 Date: 8/30/16

Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title				
Accounting (ACC)					
ACC100	Accounts Payable	Auditor Controller & Dept.	FY + 7	GC 26907; Audit Support	Shred / Delete
ACC150	Accounts Receivable	Auditor Controller & Dept.	FY + 7	GC 26907; Audit Support	Shred / Delete
ACC200	Banking	Auditor Controller & Dept.	FY + 7	GC 26907; Audit Support	Shred / Delete
ACC250	Capital (Construction) Assets	Auditor Controller & Dept.	Disposal of Asset + 10	GC 24051(b); CCP 337.15 Best Practice	Shred / Delete

		Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition		
ACC255	Collections	Records related to efforts made by the County to collect payment for services rendered. Records series includes documentation of attempt(s) to collect the payment. Records series may include bank notification of customer's insufficient fund, returned check(s) or statements, etc.	Dept.	CL + 7	GC 26202; Audit Support	Shred / Delete		
ACC275	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	Dept.		
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		
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		

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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		Dept.
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	REV + 5	GC26202		Shred / Delete
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, resolutions and policies. 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

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

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

Record Series		Record Series		Record Series		Record Series		Record Series	
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition			
ADM505	Public Records Requests	Records distributed to the public in response to a public records request. Records series includes the original request, the department response and a <u>copy</u> of the records provided if applicable.	Dept.	CY + 2	GC 26202	Shred / Delete			
ADM525	Recordings of Public Meetings	Audio or video recordings of the official proceedings of a public body subject to the Brown Act. See ADM175 above. Audio or video recordings of the proceedings of the Board of Supervisors are held by the Clerk of the Board in accordance with the Clerk of the Board's records retention schedule.	The subject body or supporting County department.	After minutes are written but no less than 30 days	GC 54953.5 (b)	Shred / Delete			
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			
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)			
ADM650	Surveys	Responses to questionnaires or surveys received from the public or staff.	Dept.	CY + 2	GC 26202	Shred / Delete			

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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	Dept.
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
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 information			Records supporting the approved County budget and maintained as audit support. May include submissions and appeals in addition to budget manuals, spreadsheets, statistics, County Auditor Controller directives, and other data accumulated in the budget development, submission and presentation process.	Dept.	FY + 7	GC 26202: Audit Support	Shred / Delete

Record Series		Description		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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
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)(-B)	Shred / Delete

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

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

Record Series		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description					
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
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	Dept.
LEG700	Subpoenas and Duces Tecum - challenged	Records related to subpoenas or subpoenas duces tecum received by a County department where the department has challenged the requirement to comply. Records series pertains only to those subpoenas where the County is not a party to the litigation.		Dept.	Resolution + 2	GC 26202; Best Practice	Shred / Delete

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

		Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition		
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		
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: Close of Process + 3	29 CFR 1627.3; 29 CFR 801.30; 29 CFR 1602.31; GC 12946	Shred / Delete		
PER110	Background Checks	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	CR + 2	29 CFR 1627.3; 29 CFR 1602.31; GC 12946; GC 26202	Shred / Delete		

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
PER150	Complaints / Grievances		Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Includes documentation of employee grievances, charges related to discrimination or harassment including those filed under or by EEOC/DFEH, County C-25 Harassment, Public Employment Relations Board (PERB), or a violation of Meyers-Millas-Brown Act. May also include an action brought by the Commission or the Attorney General against an employer under title VII.	County Human Resources	CL + 3	29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete	
PER200	Corrective or Disciplinary Actions - Supervisors' copies		Supervisors' reference copies of records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Records may include arbitration decisions, demotions, documents pertaining to the action taken for reconsideration or appeal, employee discipline matters, investigation reports, notice of appeals, notice of discipline, records pertaining to adverse job actions, suspensions, terminations and written reprimands.	Dept.	CR + 2	29 CFR 1602.31; Best Practice	Shred / Delete	
PER250	Employee Expense (Travel) Reports		Records related to employee travel on County business including justification. May include correspondence, requests, authorizations, itineraries, record of travel advances and expense reports.	Auditor Controller	FY + 7	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	

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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	
PER390	Participant Form - Employee Health and Well-Being Activities		Records related to an employee's voluntary participation in a health or well-being activity allowed under Board of Supervisors Policy A-35.	Dept.	Termination of Activity + 2	CCP 335.1; GC 911.2; GC 26202; Best Practice	Shred / Delete	
PER400	Personnel Files		Records documenting an employee's employment history. Records may include appointment letters, college transcripts, demotion, disciplinary notices or documents, employment applications & verifications, exit interviews, layoff, letters of recognition, new hire paperwork, performance evaluations, permanent status letter, personal data information changes, position descriptions, promotions, recall, or discharge, rates of pay, reclassification or reassignment, resume, selection for training, termination paperwork including last date of service, test documents if used as a basis for employment decision. Files may also contain employee-related records that are scheduled for temporary retention. Personnel files are kept current by removing temporary records upon expiration of the retention periods specified.	Dept. and County Human Resources	T + 75	GC 26202; Best Practice	Shred / Delete	

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

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