

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



ITEM
3.11
(ID # 4500)

MEETING DATE:

Tuesday, June 20, 2017


FROM : ASSESSOR-COUNTY-CLERK-RECORDER:

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER/RMAP: Approval of Departmental
Records Retention Schedules, District All. [\$0]

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached revised Departmental Records Retention Schedules for the
Treasurer-Tax Collector and Registrar of Voters.

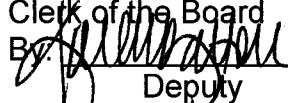
ACTION: 4/5 Vote Required


Bobbi Schutte 5/26/2017

MINUTES OF THE BOARD OF SUPERVISORS

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

Ayes: Jeffries, Tavaglione, Washington, Perez and Ashley
Nays: None
Absent: None
Date: June 20, 2017
xc: ACR

Kecia Harper-Ihem
Clerk of the Board
By: 
Deputy

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

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost
COST	\$ NA	\$ NA	\$ 0	\$ 0
NET COUNTY COST	\$ NA	\$ NA	\$ 0	\$ 0
SOURCE OF FUNDS: NA			Budget Adjustment No	
			For Fiscal Year:	16/17

C.E.O. RECOMMENDATION: APPROVE

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. Prior agenda references are noted on the appropriate cover page. Per Government Code 26202, this item requires a 4/5 vote.

Impact on Residents and Businesses

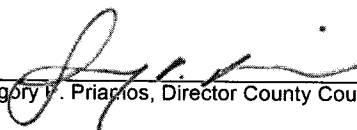
The citizens of Riverside County benefit from the efficiencies gained through the application of generally accepted recordkeeping principles.

ATTACHMENT A. DRRS for the Treasurer-Tax Collector

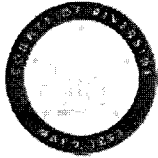
Revision of DRRS approved August 28, 2012 as agenda item #3.20.

ATTACHMENT B. DRRS for the Registrar of Voters

Revision of DRRS approved October 20, 2015 as agenda item #3-6.



 Gregory V. Priamos, Director County Counsel 5/30/2017



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_TTC_2017_Rev02)**

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 Treasurer-Tax Collector is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted August 28, 2012 as agenda item #3.20.

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

AU = After audit is completed

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

CASPC = California Accounting Standards and Procedures for Counties

CCP = California Code of Civil Procedure

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

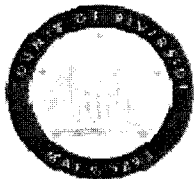
CY = Calendar year end

GC = California Government Code

FY = Fiscal year end

P = Permanent

R&TC = California Revenue and Tax Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Treasurer-Tax Collector

Schedule Type: Departmental Records Retention Schedule

Division: All

Schedule #:

Section: All

DRRS_TTC_2017_Rev02

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:

Don Kent

Don Kent, Treasurer and Tax Collector

Date:

3-28-17

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

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
TTC-ACC200	Excess Proceeds	Claims for monies submitted to the County after the sale of a parcel. Records series may include excess proceeds number, publication, research report, PO cert list, distribution, no claims, completed claims item, party of interest report, stat reports.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-ACC225	Field Collection Files	Field collection files. Records series may include copies of checks, copies of tax bills, seizure notices, correspondence, certified correspondence copies, and bank seizure copies.	Treasurer-Tax Collector	FY + 3	GC 26202; Best Practice	Shred / Delete
TTC-ACC250	Four Year Payment Plans	Agreements for four year payment plans on escaped assessments, unsecured and secured property taxes. Records series may include, copies of payments received and applied and lapsed/unlapsed payment plans.	Treasurer-Tax Collector	FY + 5	Best Practice; R&TC 4837.5	Shred / Delete
TTC-ACC275	Installment Payment Plan Agreements	Installment payment plan (IPP) agreements for secured delinquent taxes. Records series may include signed agreements for installment payment plans, copies of property tax printouts, receipts, and copies of checks.	Treasurer-Tax Collector	FY + 5	Best Practice; R&TC 4221; GC 26202	Shred / Delete
TTC-ACC300	Installment Payment Plan Reconciliation Reports	Installment Payment Plan (IPP) transfers. Records series may include individual payment plan distribution and back-up.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC325	Internal Audit Work Papers	Internal audit and work papers. Records series may include various fund reconciliations, documentation / summary of variances, and instructions for corrections.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC350	Mobile Home Tax Clearance	Mobile home tax clearance certificate, property tax screen printouts, and title search. Records series may include request for payment letter, correspondence, and supporting documentation.	Treasurer-Tax Collector	FY + 12	GC 26202; R&TC 5832; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
TTC-ACC375	Monthly Distribution	Internal Treasurer-Tax Collector monthly distribution reconciliation reports and supporting documents.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC400	Negative Apportionments	Negative apportionment requests and supporting documentation.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC425	Non Cash Tickets	Non-cash tickets for records only and distribution. This series is for records only and distribution noncash tickets maintained for audit purposes.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC450	Office Fees	Annual fee calculations. Records series may include annual fee calculations, methodology, and supporting documents.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC475	Payment Files	Records documenting Treasury Cash Receipt (TCR) Team report, correspondence, spreadsheets, and e-mailed notification. Records series may include supporting documentation for wire and check payment files.	Treasurer-Tax Collector	FY + 2	GC 26202; CASPC	Shred / Delete
TTC-ACC500	Release Of Refunds	Release of refund work papers. Records series may include departmental requests, e-mail, and back-up paperwork. Checklist and refund reports.	Treasurer-Tax Collector	FY + 2	GC 26202; Best Practice	Shred / Delete
TTC-ACC525	Subdivision and/or Parcel Maps	Subdivision/parcel maps submitted with a request for taxes due for current year or estimated taxes due for the forthcoming fiscal tax year. Payment or tax bond guaranteeing all taxes must be submitted and acknowledged by the Tax Collector, prior to the final approval of the subdivision parcel map by the Clerk of the Board. Records series may include application for estimated taxes due or current taxes due and copy of parcel map.	Treasurer-Tax Collector	CY + 2	GC 26202; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
TTC-ACC535	Tax Rolls	Record of the official completed annual property tax rolls.	Treasurer-Tax Collector	FY + 12	R&TC 2928, 4377; GC 26202; Best Practice	Shred / Delete
TTC-ACC550	Tax Sales Files	Files created for the preparation of a tax sale. Master files, proofing reports. TC item numbers that sold, and related documents. Records series may include IRS, cancelled sales, re-offers, lot book order, State notify, Accurint, loss report, redeemed parcels, stubs off sale, lot books, and personal visits.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-ACC575	Unclaimed Money Records	Documents to maintain deposits and disbursements of unclaimed money. Records series may include unclaimed money logs, deposits, claims, correspondence, publication and disposition of funds, and related back-up documentation.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
Administration (ADM)						
TTC-ADM100	Addendas	Returned certified letters mailed out to parties that may get a Power to Sell lien if not paid before next fiscal year, includes green cards.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-ADM125	Correspondence with Remittance (Windmill Files)	Correspondence with payment(s) from taxpayers requiring response to an investigation or inquiry. Records series may include letters, notes, and postcards.	Treasurer-Tax Collector	P	Best Practice	Dept.
TTC-ADM150	Customer Comment Cards	Forms completed by customers of the Treasurer-Tax Collector's office where customers comment on the services provided to them. Customers rate customer service and provide suggestions for improvement of the services provided by the Treasurer-Tax Collector.	Treasurer-Tax Collector	FY + 3	GC 26202; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
TTC-ADM200	Military Relief Tax Deferment Requests	Application for deferment of property taxes while taxpayer is deployed in the Armed Services when the tax becomes due and payable. Records series may include application and military orders for deployment.	Treasurer-Tax Collector	CL + 2	GC 26202; Best Practice	Shred / Delete
TTC-ADM250	Printed Materials - Archival Copies	Printed materials distributed by the Treasurer-Tax Collector's office to the general public.	Treasurer-Tax Collector	P	Best Practice	Robert J. Fitch County Archives
TTC-ADM275	Studies and Statistics	Record of the Treasurer-Tax Collector's activities and accomplishments; may include statistics, narrative reports, graphs, and diagrams.	Treasurer-Tax Collector	P	Best Practice	Robert J. Fitch County Archives
TTC-ADM300	Treasurer-Tax Collector's - Archival Records	Records of the current and previous elected officials. Records series may include pictures, articles, letterhead, business cards, etc.	Treasurer-Tax Collector	P	Best Practice	Robert J. Fitch County Archives
Legal (LEG)						
TTC-LEG100	Agreements of Sale (Chapter 8)	Agreement of sale for parcels by cities, non-profit organizations, water district, redevelopment agencies, the State. Agency mailing. Records series may include objection letters, work-ups, agreements of sale, distribution, Form 11, proofing reports, certified mailings, IRS, publication.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-LEG125	Bankruptcy	Chapter 7, 11, 13, 9, and 12. Records series may include claims, payments, petitions, legal documents (attorney and court), etc.	Treasurer-Tax Collector	FY + 2	GC 26202	Shred / Delete

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



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_ROV_2017_Rev02)**

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."

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Records Management and Archives Program (RMAP)
PO Box 751
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951-486-7151
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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 Codes

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

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

EC = California Elections Code

GC = California Government Code

P = Permanent

USC = United States Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Registrar of Voters	Schedule Type: Departmental Records Retention Schedule
Division: All	Schedule #: DRRS_ROV_2017_Rev02
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: Rebecca Spencer
Rebecca Spencer, Registrar of Voters

Date: 5/11/2017

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Vote-By-Mail (VBM)						
ROV_VBM100	Ballot Receipts - Federal	Ballot receipts for federal elections. Records series includes unused ballots and receipts.	ROV	CL + 22 months	EC 17301(b)	Shred / Delete
ROV_VBM125	Ballot Receipts - State / Local	Ballot receipts for state/local elections. Records series includes unused ballots and receipts.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM150	Canceled Ballots - Federal	Ballot issued to a voter that was not voted by that voter, instead it is returned to a poll worker for cancellation.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM175	Canceled Ballots - State / Local	Ballot issued to a voter that was not voted by that voter, instead it is returned to a poll worker for cancellation.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM200	Cancelled Ballots - Retirement Board	Ballot issued to a voter that was not voted by that voter, instead it is returned to a poll worker for cancellation.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM225	Envelopes - Federal	Paper ballot envelopes for voter identification.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM250	Envelopes - State / Local	Paper ballot envelopes for voter identification.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_VBM275	Envelopes - Retirement Board	Paper ballot envelopes for voter identification.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM300	Provisional - Federal	Ballots from various polling sites in which a voters name does not appear on the voter roster.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM325	Provisional Ballots- State / Local	Ballots from various polling sites in which a voters name does not appear on the voter roster.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM350	Spoiled Ballots - Federal	Paper ballot turned in at a polling site with unintended marks or may be damaged somehow.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM375	Spoiled Ballots- State / Local	Paper ballot turned in at a polling site with unintended marks or may be damaged somehow.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM400	Spoiled - Retirement Board	Paper ballot turned in at a polling site with unintended marks or may be damaged somehow.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM425	Surrendered Vote-By-Mail - Federal	Paper ballot turned in at a polling site in exchange for a duplicate ballot or to allow voter to vote an electronic ballot on the accessible voting unit.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM450	Surrendered Vote-By-Mail - State / Local	Paper ballot turned in at a polling site in exchange for a duplicate ballot or to allow voter to vote an electronic ballot on the accessible voting unit.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM475	Surrendered Vote-By-Mail - Retirement Board	Paper ballot turned in at a polling site in exchange for a duplicate ballot or to allow voter to vote an electronic ballot on the accessible voting unit.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM480	Undeliverable Vote-By-Mail Ballots - Federal	Paper ballots returned to the department by the United States Postal Service as undeliverable as addressed.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM481	Undeliverable Vote-By-Mail Ballots - State / Local	Paper ballots returned to the department by the United States Postal Service as undeliverable as addressed.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM500	Voted - Federal	Official ballot cast and accepted in a federal election.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b); EC 17305(b)	Shred / Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_VBM525	Voted - State / Local	Official ballot cast and accepted in a state/local election.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM550	Voted - Retirement Board	Official ballot cast and accepted in an election.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM575	Vote-By-Mail Voter Applications - Federal	Application form mailed to the voter upon request for a Vote-by-Mail ballot.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17504(b)	Shred / Delete
ROV_VBM600	Vote-By-Mail Voter Applications - State / Local	Application form mailed to the voter upon request for a Vote-By-Mail ballot.	ROV	CL + 6 months	EC 17505(b)	Shred / Delete
ROV_VBM625	Affidavits of Registration - original paper copy	Application form provided to affiant to be completed to establish them as an elector.	ROV	CL + 5 years	EC 17000(a)	Shred
ROV_VBM650	Affidavits of Registration - Inactive Electronic	Elector's electronic application record is made inactive due to not voting in two federal elections.	ROV	CY + 2 years	GC 26202	Delete
ROV_VBM675	Affidavits of Registration - Cancelled Electronic Record	Elector's electronic application record is canceled due to not voting in two federal elections or due to voter not confirming residency address in order to remain on the active voter list.	ROV	CL + 5 years	EC 17000(a)	Delete
ROV_VBM700	Affidavits of Registration - Pending paper copy	Elector's application record is placed in pending status due to missing voter information.	ROV	CL + 22 months	52 USC 20701 et seq	Shred
Campaign (CAM)						
ROV_CAM100	Campaign Statements - Local	Original statements of board of supervisors candidates for these offices and committees supporting an office holder or a candidate.	ROV	CL + 5 years	GC 81009(b)	Shred / Delete
ROV_CAM150	Campaign Statements - All others	Original campaign statements of all other persons not mentioned in GC 81009(a) or (b).	ROV	CL + 7 years	GC 81009(c)	Shred / Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ CAM300	Nomination papers / Signatures in-lieu of	Nomination papers for all candidates, not just those elected.	ROV	Expiration of Term + 4 years	EC 17100(a)	Shred / Delete
ROV_ CAM400	Reports and Statements - All Elections	Original reports and statements not specified by GC 81009(a), (b), (d).	ROV	CL + 7 years	GC 81009(e)	Shred / Delete
ROV_ CAM450	Reports and Statements (copies) - All Elections	Copies of reports and statement that do not need retention of more than one copy.	ROV	CL + 4 years	GC 81009(f)	Shred / Delete
ROV_ CAM500	Statements of Economic Interest	Original statement of economic interest of persons holding statewide elective office.	ROV	P	GC 81009(d)	Dept.
Petitions (PET)						
ROV_ PET100	Initiative or Referendum Petition - Failed	Petitions received and stored for 8 months after final examination of the petition by the elections official. Municipal petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17200(a)	Shred / Delete
ROV_ PET200	Initiative or Referendum Petition - Qualified	Petitions received and stored for 8 months after certification of the results of the election for which the election qualified for or if the measure is not submitted to the voters eight months after the final examination of the petition by the elections official. Municipal petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17200(a)	Shred / Delete
ROV_ PET300	Recall Petition - Failed	Recall Petitions received and stored for 8 months after final examination of the petition by the elections official. Municipal Recall petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17400(a)	Shred / Delete
ROV_ PET400	Recall Petition - Qualified	Recall Petitions received and stored for 8 months after certification of the results of the election for which the recall qualified. Municipal Recall petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17400(a)	Shred / Delete

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Precincts (PRE)						
ROV_ PRE100	Assisted Voters List - Federal	List containing the voter's names who have been assisted in marking their ballots in a federal election.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE125	Assisted Voters List - State / Local	List containing the voter's names who have been assisted in marking their ballots in a State/Local election.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE150	Ballot Receipts - Federal	Paper ballot receipts for unused ballots in federal elections. Records series includes unused ballots and receipts.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE175	Ballot Receipts - State / Local	Paper ballot receipts for unused ballots in State/Federal elections. Records series includes unused ballots and receipts.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE200	Challenge Lists - Federal	List containing the voter's names who have been orally challenged by a member of the precinct board at the polling place during a federal election.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE225	Challenge Lists - State / Local	List containing the voter's names who have been orally challenged by a member of the precinct board at the polling place during a state/local election.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE250	Combined Rosters & Indexes	A complete printed index, by precinct, to the affidavits of registration current at the date of printing. It allows a space of sufficient size to allow each voter to sign his or her name.	ROV	CL + 5 years	EC 17300(a)	Shred / Delete
ROV_ PRE275	Envelopes / Provisional Federal	Paper ballot envelopes for voter identification from various polling sites in which a voters name does not appear on the voter roster in a federal election.	ROV	CL + 22 months	EC 17301(b)	Shred / Delete
ROV_ PRE300	Envelopes / Provisional State / Local	Paper ballot envelopes for voter identification from various polling sites in which a voters name does not appear on the voter roster in a state/local election.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_ PRE325	Indexes at Precincts - Federal	A complete printed index, by precinct, to the affidavits of registration current at the date of printing in federal elections. It contains street addresses in alphabetical order and a cross reference number for each voter in the precinct.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ PRE350	Indexes at Precincts - State / Local	A complete printed index, by precinct, to the affidavits of registration current at the date of printing in state/local elections. It contains street addresses in alphabetical order and a cross reference number for each voter in the precinct.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE375	Official Precinct Material - Federal	Records series includes precinct officers Declaration of Intention (EC 12321); Precinct Board Member applications (EC 12300); Order appointing precinct boards and designating the polling places (EC 12286); Nomination appointments from county central commission (EC 12306); written orders appointing precinct Board members and designating polling places (EC 12327).	ROV	CL + 22 months	EC 17502(b)	Shred / Delete
ROV_ PRE400	Official Precinct Material - State / Local	Records series includes precinct officers Declaration of Intention (EC 12321); Precinct Board Member applications (EC 12300); Order appointing precinct boards and designating the polling places (EC 12286); Nomination appointments from county central commission (EC 12306); written orders appointing precinct Board members and designating polling places (EC 12327).	ROV	CL + 6 months	EC 17503(b)	Shred / Delete
ROV_ PRE425	Precinct Maps - Federal Elections	Maps created using the current election parameters and precincts during a federal election.	ROV	CL + 2 years	GC 26202	Shred / Delete
ROV_ PRE450	Precinct Maps - Local Elections	Maps created using the current election parameters and precincts during a local election.	ROV	CL + 2 years	GC 26202	Shred / Delete
ROV_ PRE475	Supplemental Roster - Federal	A printed roster after the close of registration, by precinct, to the affidavits of registration current at the date of printing of new resident voters in a federal election.	ROV	CL + 22 months	EC 17506	Shred / Delete
ROV_ PRE500	Supplemental Roster - State	A printed roster after the close of registration, by precinct, to the affidavits of registration current at the date of printing of new resident voters in a state/local election.	ROV	CL + 6 months	EC 17506	Shred / Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ PRE525	Tally Sheets (poll copies) - Federal	Two sheets used in federal elections by precinct board members showing the contests being voted upon. The total number of votes counted for each candidate and for and against each measure is recorded on the tally sheets in words and figures.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE550	Tally Sheets (poll copies) - State / Local	Two sheets used in state/local elections by precinct board members showing the contests being voted upon. The total number of votes counted for each candidate and for and against each measure is recorded on the tally sheets in words and figures.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE575	Unused Ballots - Federal, State, Local	Unused ballots are those official ballots remaining in the control of the elections official unusable. These ballots may be recycled as long as an affidavit is prepared, in writing, as to the number of ballots recycled.	ROV	Destroy once polls have closed	EC 14404	Shred / Delete
Voter Registration (VTR)						
ROV_ VTR100	8d (2) Cards (undeliverable)	When NCOAs are processed the system will generate an 8d(2) card to confirm the address on record. Returned to election offices by registrants responding to verification or confirmation mailings.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR200	Alternate Residency Cards (ARC)	Generated by the system to confirm the voter record address. Returned to election offices by registrants responding to verification or confirmation mailings.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR300	Application for Viewing Voter Files	Applications to Purchase or View Voter Records per EC §2188	ROV	CL + 5 years	EC 2188(f)	Shred / Delete
ROV_ VTR400	National Change of Address Cards (NCOA)	In lieu of mailing a residency confirmation card, these notifications are sent to registrants to confirm registration address status and are returned as undeliverable or with address.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR500	Official Notices	Official notices received relating to a voter including notification of death, mental incompetence, and felony listings.	ROV	CY + 2 years	GC 26202	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
ROV_ VTR600	Prior Registration Notice	Notice indicating voter registered in another jurisdiction.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR700	Undeliverable Voter Notification Cards (VNC)	Notifications sent to registrants to confirm registration status that are returned as undeliverable or with address. Returned to election offices by registrants responding to verification or confirmation mailings.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR800	Voter Registration Cards - correspondence	Request to cancel registration or change of address, name, party, etc.	ROV	CY + 2 years	GC 26202	Shred / Delete



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_ROV_2017_Rev02)**

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 Registrar of Voters is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted October 20, 2016 as Item #3-6.

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 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.

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.

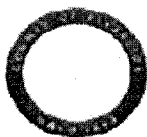
CY = Calendar year end

EC = California Elections Code

GC = California Government Code

P = Permanent

USC = United States Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Registrar of Voters

Schedule Type: Departmental Records Retention Schedule

Division: All

Schedule #:

Section: All

DRRS_ROV_2017_Rev02

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:

Rebecca Spencer
Rebecca Spencer, Registrar of Voters

Date:

5/11/2017

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Vote-By-Mail (VBM)						
ROV_VBM100	Ballot Receipts - Federal	Ballot receipts for federal elections. Records series includes unused ballots and receipts.	ROV	CL + 22 months	EC 17301(b)	Shred / Delete
ROV_VBM125	Ballot Receipts - State / Local	Ballot receipts for state/local elections. Records series includes unused ballots and receipts.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM150	Canceled Ballots - Federal	Ballot issued to a voter that was not voted by that voter, instead it is returned to a poll worker for cancellation.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM175	Canceled Ballots - State / Local	Ballot issued to a voter that was not voted by that voter, instead it is returned to a poll worker for cancellation.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM200	Cancelled Ballots - Retirement Board	Ballot issued to a voter that was not voted by that voter, instead it is returned to a poll worker for cancellation.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM225	Envelopes - Federal	Paper ballot envelopes for voter identification.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_VBM250	Envelopes - State / Local	Paper ballot envelopes for voter identification.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete

FORM APPROVED COUNTY COUNSEL

BY *Kristine Bell-Valdez* 5/30/17 DATE
KRISTINE BELL-VALDEZ

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ VBM275	Envelopes - Retirement Board	Paper ballot envelopes for voter identification.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_ VBM300	Provisional - Federal	Ballots from various polling sites in which a voters name does not appear on the voter roster.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_ VBM325	Provisional Ballots- State / Local	Ballots from various polling sites in which a voters name does not appear on the voter roster.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_ VBM350	Spoiled Ballots - Federal	Paper ballot turned in at a polling site with unintended marks or may be damaged somehow.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_ VBM375	Spoiled Ballots- State / Local	Paper ballot turned in at a polling site with unintended marks or may be damaged somehow.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_ VBM400	Spoiled - Retirement Board	Paper ballot turned in at a polling site with unintended marks or may be damaged somehow.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_ VBM425	Surrendered Vote-By-Mail - Federal	Paper ballot turned in at a polling site in exchange for a duplicate ballot or to allow voter to vote an electronic ballot on the accessible voting unit.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_ VBM450	Surrendered Vote-By-Mail - State / Local	Paper ballot turned in at a polling site in exchange for a duplicate ballot or to allow voter to vote an electronic ballot on the accessible voting unit.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_ VBM475	Surrendered Vote-By-Mail - Retirement Board	Paper ballot turned in at a polling site in exchange for a duplicate ballot or to allow voter to vote an electronic ballot on the accessible voting unit.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_ VBM480	Undeliverable Vote-By-Mail Ballots - Federal	Paper ballots returned to the department by the United States Postal Service as undeliverable as addressed.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b)	Shred / Delete
ROV_ VBM481	Undeliverable Vote-By-Mail Ballots - State / Local	Paper ballots returned to the department by the United States Postal Service as undeliverable as addressed.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_ VBM500	Voted - Federal	Official ballot cast and accepted in a federal election.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17301(b); EC 17305(b)	Shred / Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_VBM525	Voted - State / Local	Official ballot cast and accepted in a state/local election.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_VBM550	Voted - Retirement Board	Official ballot cast and accepted in an election.	ROV	CL + 3 years	GC 26202	Shred / Delete
ROV_VBM575	Vote-By-Mail Voter Applications - Federal	Application form mailed to the voter upon request for a Vote-by-Mail ballot.	ROV	CL + 22 months	52 USC 20701 et seq; EC 17504(b)	Shred / Delete
ROV_VBM600	Vote-By-Mail Voter Applications - State / Local	Application form mailed to the voter upon request for a Vote-By-Mail ballot.	ROV	CL + 6 months	EC 17505(b)	Shred / Delete
ROV_VBM626	Affidavits of Registration - original paper copy	Application form provided to affiant to be completed to establish them as an elector.	ROV	CL + 6 years	EC 17000(a)	Shred
ROV_VBM650	Affidavits of Registration - Inactive Electronic	Elector's electronic application record is made inactive due to not voting in two federal elections.	ROV	CY + 2 years	GC 26202	Delete
ROV_VBM675	Affidavits of Registration - Cancelled Electronic Record	Elector's electronic application record is canceled due to not voting in two federal elections or due to voter not confirming residency address in order to remain on the active voter list.	ROV	CL + 5 years	EC 17000(a)	Delete
ROV_VBM700	Affidavits of Registration - Pending paper copy	Elector's application record is placed in pending status due to missing voter information.	ROV	CL + 22 months	52 USC 20701 et seq	Shred
Campaign (CAM)						
ROV_CAM100	Campaign Statements - Local	Original statements of board of supervisors candidates for these offices and committees supporting an office holder or a candidate.	ROV	CL + 5 years	GC 81009(b)	Shred / Delete
ROV_CAM150	Campaign Statements - All others	Original campaign statements of all other persons not mentioned in GC 81009(a) or (b).	ROV	CL + 7 years	GC 81009(c)	Shred / Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ CAM300	Nomination papers / Signatures in-lieu of	Nomination papers for all candidates, not just those elected.	ROV	Expiration of Term + 4 years	EC 17100(a)	Shred / Delete
ROV_ CAM400	Reports and Statements - All Elections	Original reports and statements not specified by GC 81009(a), (b), (d).	ROV	CL + 7 years	GC 81009(e)	Shred / Delete
ROV_ CAM450	Reports and Statements (copies) - All Elections	Copies of reports and statement that do not need retention of more than one copy.	ROV	CL + 4 years	GC 81009(f)	Shred / Delete
ROV_ CAM500	Statements of Economic Interest	Original statement of economic interest of persons holding statewide elective office.	ROV	P	GC 81009(d)	Dept.
Petitions (PET)						
ROV_ PET100	Initiative or Referendum Petition - Failed	Petitions received and stored for 8 months after final examination of the petition by the elections official. Municipal petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17200(a)	Shred / Delete
ROV_ PET200	Initiative or Referendum Petition - Qualified	Petitions received and stored for 8 months after certification of the results of the election for which the election qualified for or if the measure is not submitted to the voters eight months after the final examination of the petition by the elections official. Municipal petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17200(a)	Shred / Delete
ROV_ PET300	Recall Petition - Failed	Recall Petitions received and stored for 8 months after final examination of the petition by the elections official. Municipal Recall petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17400(a)	Shred / Delete
ROV_ PET400	Recall Petition - Qualified	Recall Petitions received and stored for 8 months after certification of the results of the election for which the recall qualified. Municipal Recall petitions are returned to the City Clerk.	ROV	CL + 8 months	EC 17400(a)	Shred / Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Precincts (PRE)						
ROV_ PRE100	Assisted Voters List - Federal	List containing the voter's names who have been assisted in marking their ballots in a federal election.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE125	Assisted Voters List - State / Local	List containing the voter's names who have been assisted in marking their ballots in a State/Local election.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE150	Ballot Receipts - Federal	Paper ballot receipts for unused ballots in federal elections. Records series includes unused ballots and receipts.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE175	Ballot Receipts - State / Local	Paper ballot receipts for unused ballots in State/Federal elections. Records series includes unused ballots and receipts.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE200	Challenge Lists - Federal	List containing the voter's names who have been orally challenged by a member of the precinct board at the polling place during a federal election.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE225	Challenge Lists - State / Local	List containing the voter's names who have been orally challenged by a member of the precinct board at the polling place during a state/local election.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE250	Combined Rosters & Indexes	A complete printed index, by precinct, to the affidavits of registration current at the date of printing. It allows a space of sufficient size to allow each voter to sign his or her name.	ROV	CL + 5 years	EC 17300(a)	Shred / Delete
ROV_ PRE275	Envelopes / Provisional Federal	Paper ballot envelopes for voter identification from various polling sites in which a voters name does not appear on the voter roster in a federal election.	ROV	CL + 22 months	EC 17301(b)	Shred / Delete
ROV_ PRE300	Envelopes / Provisional State / Local	Paper ballot envelopes for voter identification from various polling sites in which a voters name does not appear on the voter roster in a state/local election.	ROV	CL + 6 months	EC 17302(b)	Shred / Delete
ROV_ PRE325	Indexes at Precincts - Federal	A complete printed index, by precinct, to the affidavits of registration current at the date of printing in federal elections. It contains street addresses in alphabetical order and a cross reference number for each voter in the precinct.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ PRE350	Indexes at Precincts - State / Local	A complete printed index, by precinct, to the affidavits of registration current at the date of printing in state/local elections. It contains street addresses in alphabetical order and a cross reference number for each voter in the precinct.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE375	Official Precinct Material - Federal	Records series includes precinct officers Declaration of Intention (EC 12321); Precinct Board Member applications (EC 12300); Order appointing precinct boards and designating the polling places (EC 12286); Nomination appointments from county central commission (EC 12306); written orders appointing precinct Board members and designating polling places (EC 12327).	ROV	CL + 22 months	EC 17502(b)	Shred / Delete
ROV_ PRE400	Official Precinct Material - State / Local	Records series includes precinct officers Declaration of Intention (EC 12321); Precinct Board Member applications (EC 12300); Order appointing precinct boards and designating the polling places (EC 12286); Nomination appointments from county central commission (EC 12306); written orders appointing precinct Board members and designating polling places (EC 12327).	ROV	CL + 6 months	EC 17503(b)	Shred / Delete
ROV_ PRE425	Precinct Maps - Federal Elections	Maps created using the current election parameters and precincts during a federal election.	ROV	CL + 2 years	GC 26202	Shred / Delete
ROV_ PRE450	Precinct Maps - Local Elections	Maps created using the current election parameters and precincts during a local election.	ROV	CL + 2 years	GC 26202	Shred / Delete
ROV_ PRE475	Supplemental Roster - Federal	A printed roster after the close of registration, by precinct, to the affidavits of registration current at the date of printing of new resident voters in a federal election.	ROV	CL + 22 months	EC 17506	Shred / Delete
ROV_ PRE500	Supplemental Roster - State	A printed roster after the close of registration, by precinct, to the affidavits of registration current at the date of printing of new resident voters in a state/local election.	ROV	CL + 6 months	EC 17506	Shred / Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ PRE525	Tally Sheets (poll copies) - Federal	Two sheets used in federal elections by precinct board members showing the contests being voted upon. The total number of votes counted for each candidate and for and against each measure is recorded on the tally sheets in words and figures.	ROV	CL + 22 months	EC 17303(b)	Shred / Delete
ROV_ PRE550	Tally Sheets (poll copies) - State / Local	Two sheets used in state/local elections by precinct board members showing the contests being voted upon. The total number of votes counted for each candidate and for and against each measure is recorded on the tally sheets in words and figures.	ROV	CL + 6 months	EC 17304(b)	Shred / Delete
ROV_ PRE575	Unused Ballots - Federal, State, Local	Unused ballots are those official ballots remaining in the control of the elections official unusable. These ballots may be recycled as long as an affidavit is prepared, in writing, as to the number of ballots recycled.	ROV	Destroy once polls have closed	EC 14404	Shred / Delete
Voter Registration (VTR)						
ROV_ VTR100	8d (2) Cards (undeliverable)	When NCOAs are processed the system will generate an 8d(2) card to confirm the address on record. Returned to election offices by registrants responding to verification or confirmation mailings.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR200	Alternate Residency Cards (ARC)	Generated by the system to confirm the voter record address. Returned to election offices by registrants responding to verification or confirmation mailings.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR300	Application for Viewing Voter Files	Applications to Purchase or View Voter Records per EC §2188	ROV	CL + 5 years	EC 2188(f)	Shred / Delete
ROV_ VTR400	National Change of Address Cards (NCOA)	In lieu of mailing a residency confirmation card, these notifications are sent to registrants to confirm registration address status and are returned as undeliverable or with address.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR500	Official Notices	Official notices received relating to a voter including notification of death, mental incompetence, and felony listings.	ROV	CY + 2 years	GC 26202	Shred / Delete

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ROV_ VTR600	Prior Registration Notice	Notice indicating voter registered in another jurisdiction.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR700	Undeliverable Voter Notification Cards (VNC)	Notifications sent to registrants to confirm registration status that are returned as undeliverable or with address. Returned to election offices by registrants responding to verification or confirmation mailings.	ROV	CY + 2 years	GC 26202	Shred / Delete
ROV_ VTR800	Voter Registration Cards - correspondence	Request to cancel registration or change of address, name, party, etc.	ROV	CY + 2 years	GC 26202	Shred / Delete



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_TTC_2017_Rev02)**

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 Treasurer-Tax Collector is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted August 28, 2012 as agenda item #3.20.

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

AU = After audit is completed

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

CASPC = California Accounting Standards and Procedures for Counties

CCP = California Code of Civil Procedure

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

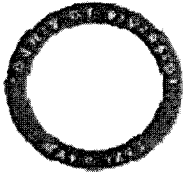
CY = Calendar year end

GC = California Government Code

FY = Fiscal year end

P = Permanent

R&TC = California Revenue and Tax Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Treasurer-Tax Collector

Schedule Type: Departmental Records Retention Schedule

Division: All

Schedule #:

Section: All

DRRS_TTC_2017_Rev02

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:

Don Kent
Don Kent, Treasurer and Tax Collector

Date:

3-28-17

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

FORM APPROVED COUNTY COUNSEL

BY Kristine Bell-Valdez 3/30/17 DATE

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
TTC-ACC200	Excess Proceeds	Claims for monies submitted to the County after the sale of a parcel. Records series may include excess proceeds number, publication, research report, PO cert list, distribution, no claims, completed claims item, party of interest report, stat reports.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-ACC225	Field Collection Files	Field collection files. Records series may include copies of checks, copies of tax bills, seizure notices, correspondence, certified correspondence copies, and bank seizure copies.	Treasurer-Tax Collector	FY + 3	GC 26202; Best Practice	Shred / Delete
TTC-ACC250	Four Year Payment Plans	Agreements for four year payment plans on escaped assessments, unsecured and secured property taxes. Records series may include, copies of payments received and applied and lapsed/unlapsed payment plans.	Treasurer-Tax Collector	FY + 5	Best Practice; R&TC 4837.5	Shred / Delete
TTC-ACC275	Installment Payment Plan Agreements	Installment payment plan (IPP) agreements for secured delinquent taxes. Records series may include signed agreements for installment payment plans, copies of property tax printouts, receipts, and copies of checks.	Treasurer-Tax Collector	FY + 5	Best Practice; R&TC 4221; GC 26202	Shred / Delete
TTC-ACC300	Installment Payment Plan Reconciliation Reports	Installment Payment Plan (IPP) transfers. Records series may include individual payment plan distribution and back-up.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC325	Internal Audit Work Papers	Internal audit and work papers. Records series may include various fund reconciliations, documentation / summary of variances, and instructions for corrections.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC350	Mobile Home Tax Clearance	Mobile home tax clearance certificate, property tax screen printouts, and title search. Records series may include request for payment letter, correspondence, and supporting documentation.	Treasurer-Tax Collector	FY + 12	GC 26202; R&TC 5832; Best Practice	Shred / Delete

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
TTC-ACC375	Monthly Distribution	Internal Treasurer-Tax Collector monthly distribution reconciliation reports and supporting documents.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC400	Negative Apportionments	Negative apportionment requests and supporting documentation.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC425	Non Cash Tickets	Non-cash tickets for records only and distribution. This series is for records only and distribution noncash tickets maintained for audit purposes.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC450	Office Fees	Annual fee calculations. Records series may include annual fee calculations, methodology, and supporting documents.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
TTC-ACC475	Payment Files	Records documenting Treasury Cash Receipt (TCR) Team report, correspondence, spreadsheets, and e-mailed notification. Records series may include supporting documentation for wire and check payment files.	Treasurer-Tax Collector	FY + 2	GC 26202; CASPC	Shred / Delete
TTC-ACC500	Release Of Refunds	Release of refund work papers. Records series may include departmental requests, e-mail, and back-up paperwork. Checklist and refund reports.	Treasurer-Tax Collector	FY + 2	GC 26202; Best Practice	Shred / Delete
TTC-ACC525	Subdivision and/or Parcel Maps	Subdivision/parcel maps submitted with a request for taxes due for current year or estimated taxes due for the forthcoming fiscal tax year. Payment or tax bond guaranteeing all taxes must be submitted and acknowledged by the Tax Collector, prior to the final approval of the subdivision parcel map by the Clerk of the Board. Records series may include application for estimated taxes due or current taxes due and copy of parcel map.	Treasurer-Tax Collector	CY + 2	GC 26202; Best Practice	Shred / Delete

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
TTC- ACC535	Tax Rolls	Record of the official completed annual property tax rolls.	Treasurer-Tax Collector	FY + 12	R&TC 2928, 4377; GC 26202; Best Practice	Shred / Delete
TTC- ACC550	Tax Sales Files	Files created for the preparation of a tax sale. Master files, proofing reports. TC item numbers that sold, and related documents. Records series may include IRS, cancelled sales, re-offers, lot book order, State notify, Accurint, loss report, redeemed parcels, stubs off sale, lot books, and personal visits.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC- ACC575	Unclaimed Money Records	Documents to maintain deposits and disbursements of unclaimed money. Records series may include unclaimed money logs, deposits, claims, correspondence, publication and disposition of funds, and related back-up documentation.	Treasurer-Tax Collector	FY + 7	GC 26202; Best Practice	Shred / Delete
Administration (ADM)						
TTC- ADM100	Addendas	Returned certified letters mailed out to parties that may get a Power to Sell lien if not paid before next fiscal year, includes green cards.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC- ADM125	Correspondence with Remittance (Windmill Files)	Correspondence with payment(s) from taxpayers requiring response to an investigation or inquiry. Records series may include letters, notes, and postcards.	Treasurer-Tax Collector	P	Best Practice	Dept.
TTC- ADM150	Customer Comment Cards	Forms completed by customers of the Treasurer-Tax Collector's office where customers comment on the services provided to them. Customers rate customer service and provide suggestions for improvement of the services provided by the Treasurer-Tax Collector.	Treasurer-Tax Collector	FY + 3	GC 26202; Best Practice	Shred / Delete

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
TTC-ADM200	Military Relief Tax Deferment Requests	Application for deferment of property taxes while taxpayer is deployed in the Armed Services when the tax becomes due and payable. Records series may include application and military orders for deployment.	Treasurer-Tax Collector	CL + 2	GC 26202; Best Practice	Shred / Delete
TTC-ADM250	Printed Materials - Archival Copies	Printed materials distributed by the Treasurer-Tax Collector's office to the general public.	Treasurer-Tax Collector	P	Best Practice	Robert J. Fitch County Archives
TTC-ADM275	Studies and Statistics	Record of the Treasurer-Tax Collector's activities and accomplishments; may include statistics, narrative reports, graphs, and diagrams.	Treasurer-Tax Collector	P	Best Practice	Robert J. Fitch County Archives
TTC-ADM300	Treasurer-Tax Collector's - Archival Records	Records of the current and previous elected officials. Records series may include pictures, articles, letterhead, business cards, etc.	Treasurer-Tax Collector	P	Best Practice	Robert J. Fitch County Archives
Legal (LEG)						
TTC-LEG100	Agreements of Sale (Chapter 8)	Agreement of sale for parcels by cities, non-profit organizations, water district, redevelopment agencies, the State. Agency mailing. Records series may include objection letters, work-ups, agreements of sale, distribution, Form 11, proofing reports, certified mailings, IRS, publication.	Treasurer-Tax Collector	FY + 12	GC 26202; Best Practice	Shred / Delete
TTC-LEG125	Bankruptcy	Chapter 7, 11, 13, 9, and 12. Records series may include claims, payments, petitions, legal documents (attorney and court), etc.	Treasurer-Tax Collector	FY + 2	GC 26202	Shred / Delete

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