

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



ITEM
3.7
(ID # 5796)

MEETING DATE:

Tuesday, December 5, 2017

FROM : ASSESSOR-COUNTY-CLERK-RECORDER:

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

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached revised General Records Retention Schedule for all departments

ACTION: 4/5 Vote Required


Kan Wang, Assistant Assesor-County-Clerk Recorder 11/8/2017

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Ashley, seconded by Supervisor Perez 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: December 5, 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	\$ NA	\$ NA
NET COUNTY COST	\$ NA	\$ NA	\$ NA	\$ NA
SOURCE OF FUNDS: NA			Budget Adjustment:	No
			For Fiscal Year:	17/18

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.

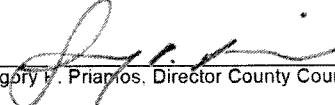
ATTACHMENT.

GENERAL RECORDS RETENTION SCHEDULE REV11

Supersedes the General Records Retention Schedule adopted October 4, 2016 as agenda item #3-4

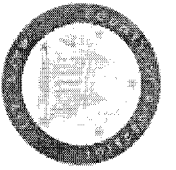

Kristine Bell-Valdez

11/14/2017



Gregory H. Priamos, Director County Counsel

11/14/2017



County of Riverside, California
Departmental Records Retention Schedule
(GRRS_2017_Rev11)

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 General Records Retention Schedule (GRRS) is adopted as per the recommendations of Board Policy A-43 and supersedes the GRRS adopted October 4, 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 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 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. A record is considered "closed" when no further action is pending or required.

GC = California Government Code
P = Permanent
PC = California Penal Code

AV = Retained as long as Administratively Valuable

CR = Creation (of the record) date
CU = Current

R & TC = California Revenue and Tax Code
REV = (Until) Revised or superseded

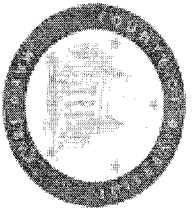
Best Practice = Best Practice determined through business and government agency benchmarks.

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 #: **GRRS_2017_REV11**

Section: **All Sections**

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* Date: 11/7/2017
 Rebekah Marshall, CRM

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

FORM APPROVED COUNTY COUNSEL
 BY *Kristine Bell-Valdez* 11/11/17
 KRISTINE BELL-VALDEZ DATE

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; 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; 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		Description		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Administration (ADM)							
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; 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		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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)	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	2 CFR 200.333; audit support and as required by the terms of the grant; Best Practice	Shred / Delete	
ADM435	Meeting Minutes - Departmental		Official minutes of a departmental meeting that document significant decisions made by department staff. Records series may include distributed items or other attachments.	Dept	CR + 2	GC 26202	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	

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
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		
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; GC 26205.1; Best Practice	Dept and Clerk of the Board		

Record Series		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description					
ADM625	Submission 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, surveys, including comment cards or other feedback, received from the public.	Dept.	CY + 2	GC 26202	Shred / Delete	
ADM750	Video Monitoring	Recordings of on-going or daily operations. Records include routine video of operations that are not needed for an investigation including mobile in-car video and building surveillance video.	Dept.	12 months and with written consent of dept. attorney	GC 26202.6	Delete	
Finance (FIN)							
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 & Dept.	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	

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
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
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 & Dept.	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
Health and Safety (HSA)							
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; 8 CCR 3220	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); 8 CCR 6151	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

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
HSA200	First Aid Records	Records documenting one-time first aid treatment and subsequent observation of minor illnesses and injuries if made onsite by a non-physician and maintained separately from the employee medical records.	Dept. Human Resources	T + 3	29 CFR 1910.1020 (d-1)(i-B)	Shred / Delete
HSA250	Hazard Communication Plans	Records related to the approved procedures for the effective communication of workplace hazards, including container labeling and other forms of warning, material safety data sheets and employee training, that are developed in compliance with OSHA 29 CFR 1910.1200.	Dept. and County Human Resources	REV + 5	GC 26202; Best Practice	Shred / Delete
HSA300	Hazardous Exposure Records	Records related to employee exposure to toxic substances or harmful physical agents. May include accident reports, allegations of employee exposure, audiometric test records, damage reports, employee medical records, environmental permits, environmental monitoring methodologies, calculations and results, biological monitoring results and chemical inventories or other records that indicate where and when a toxic substance or harmful physical agent was in use.	Dept. and County Human Resources	30 years or T + 30, whichever is longer	29 CFR 1910.1020(d)	Shred / Delete
HSA350	Injury and Illness Prevention Program	Records related to the steps taken to implement and maintain the Injury and Illness Prevention Program. Includes records of schedules and periodic inspections required by Cal/OSHA and the actions taken to correct unsafe conditions and records documenting required safety and health training. Also includes documentation of safety training for all employees including who attended and the topic discussed. May also include Safety Committee meeting records including issues discussed at meetings and results of investigation reviews.	Dept. and County Human Resources	CY + 3	8 CCR 3203(b)(1-2) & (c); County of Riverside IIPP Standard	Shred / Delete
HSA400	Injury and Illness Reports	Records related to reporting and documentation of employee injury or illness. Records may include the Cal/OSHA logs and summary forms [300, 300A and 301], decompression sickness incidents, dive team medical records, log of occupational injury or illness resulting in medical care. NOTE: In January 2002, Cal/OSHA replaced Form 200 with Forms 300, 300A and 301.	Dept. and County Human Resources	CY + 5	29 CFR 1904.33; 8 CCR 14300.33	Shred / Delete

		Record Series					
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition	
HSA450	Safety Data Sheets (SDS)	SDS 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	
Legal (LEG)							
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.	

Record Series						
Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
LEG300	Insurance Policies - Workers Compensation Coverage	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	P	Best Practice	Dept.
LEG350	Insurance Policies - first party coverage only	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	T + 4	GC 26202; CCP 337	Shred / Delete
LEG400	Leases - excluding real property	Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto.	Dept.	CL + 4	GC 26202; CCP 337	Shred / Delete
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.

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
LEG700	Subpoenas and Subpoenas Duces Tecum - challenged		Records related to subpoenas or subpoenas duces tecum received by a County department where the department has challenged the requirement to comply. Records series pertains only to those subpoenas where the County is not a party to the litigation.	Dept.	Resolution + 2	GC 26202; Best Practice	Shred / Delete	
LEG750	Subpoenas and Subpoenas Duces Tecum - record of compliance		Records related to subpoenas and subpoenas duces tecum received by a County department where the department has fully complied. Records series pertains only to those subpoenas where the County is not a party to the litigation.	Dept.	Compliance + 2	GC 26202; Best Practice	Shred / Delete	
Office Management (OFM)								
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	

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
		OEM325	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
		OEM350	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
		OEM400	Work Orders - originator copies	Work requests for maintenance services performed on County vehicles, equipment or property.	Dept.	CY + 2	GC 26202	Shred / Delete
Personnel (PER) - all records within this Group require confidential destruction								
		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	Supervisor's 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		
PER260	Ethics Training for Local Officials	Records related to the mandatory ethics training for local officials required by AB1234, codified at CA Government Code §§53235 et seq. Records series includes the notices of training, and certificates of completion that document the date the official completed the training and the entity that provided the training.	Dept. and Clerk of the Board	CY + 5	GC 53235.2(b)	Shred / Delete		
PER300	Leave of Absence Reports / Requests	Records related to any employee request for leave of absence for medical or non-medical reasons. Series includes reviews, working documents, and supporting documentation.	County Human Resources	CL + 3	29 CFR 825.500; 29 CFR 516.5; 29 USC 211; GC 26202; Best Practice	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 request for annual leave, vacation, holiday, comp or sick leave under County rules. Series includes reports, approvals and working documents.	Dept. Human Resources	FY + 3	29 CFR 825.500(g); GC 26202	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
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

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

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