

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



**ITEM: 3.4
(ID # 13850)**

MEETING DATE:
Tuesday, December 15, 2020

FROM: ASSESSOR-COUNTY-CLERK-RECORDER:

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER/ RMAP: Approval of the revised General and Departmental Records Retention Schedules, All Districts. [\$0] (4/5th Vote Required)

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached revised Departmental Records Retention Schedule for the Assessor-County Clerk-Recorder -Assessor Department;
2. Approve the attached revised Departmental Records Retention Schedule for the Assessor-County Clerk-Recorder–Clerk Department;
3. Approve the attached revised Departmental Records Retention Schedule for the Assessor-County Clerk-Recorder – Records Management and Archives Program Department; and
4. Approve the attached revised General Records Retention Schedule for the County of Riverside.

ACTION: 4/5 Vote Required, Policy


Kan Wang, Assistant Assessor-County-Clerk Recorder 11/17/2020

MINUTES OF THE BOARD OF SUPERVISORS

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

Ayes: Jeffries, Spiegel, Washington, Perez and Hewitt
Nays: None
Absent: None
Date: December 15, 2020
xc: ACR

Kecia R. Harper
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: 2020/2021	

C.E.O. RECOMMENDATION: Approval

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 Section 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.

- ATTACHMENTS:**
- Assessor-County Clerk-Recorder – Assessor Department**
Supersedes DRRS adopted September 17, 2019 as agenda item #3.6
 - Assessor-County Clerk-Recorder – Clerk Department**
Supersedes DRRS adopted October 22, 2019 as agenda item #3.7
 - Assessor-County Clerk-Recorder – Records Management and Archives Program Department**
Supersedes DRRS adopted October 22, 2019 as agenda item #3.7
 - General Records Retention Schedule**
Supersedes GRRS adopted September 17, 2019 as agenda item #3.6


Stephanie P. ..., Principal Management Analyst 12/8/2020


Gregory V. Priamos, Director County Counsel 11/24/2020



County of Riverside, California Departmental Records Retention Schedule (DRRS_ACR-A_2020_Rev05)

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)
2724 Gateway Drive
Riverside, CA 92507
951-486-7067
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Assessor-County Clerk-Recorder, Assessor Department (ACR-A) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted September 17, 2019 as agenda 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.

CCR = California Code of Regulations

FY = Fiscal year end

GOV = California Government Code

RTC = California Revenue & Tax Code

P = Permanent



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Assessor-County Clerk-Recorder, Assessor

Schedule Type: Departmental Records Retention Schedule (DRRS)

Division: All

Schedule #:

Section: All

DRRS_ACR-A_2020_Rev05

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: *Peter Aldana*

Peter Aldana
Peter Aldana, Assessor-County Clerk-Recorder

Date: 7/16/2024

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description					
ACR-A-100	Annual Racehorse Tax Return	Identifies racehorses subject to the in-lieu tax.		Business Personal Property	Five years from the date the returns became due.	18 CCR 1045	Shred / Delete
ACR-A-125	Appraisal Records	Used to determine a value for taxable property in the County. Information includes parcel number, name of owner, and description of property.		Valuation Divisions	P	Best Practice	County Archives
ACR-A-150	Assessment Appeals	Evidence to support the property's assessed value. May include other documentation which is presented to the Review Board to establish the taxable value of the property.		Assessment Services	When five years have elapsed since the final action on the application.	GOV 25105.5	Shred / Delete
ACR-A-175	Assessment Rolls / Accumulated Journals / Parcel Number Change List	List(s) of the assessed values for all property in the county. Includes situs roll, name roll, exempt roll and subdivision roll. Also includes assessment and parcel maintenance activity.		Assessment Services	P	Best Practice	County Archives
ACR-A-200	Business Property Records	Used to locate all taxable property in the county, to identify the owners, describe the property and determine a value. May include mandatory and non-mandatory audit reports and work papers that verify the accuracy of the information provided by the taxpayer.		Business Personal Property	When six years have elapsed since the lien date for the tax year for which that document was obtained.	RTC 465(a); RTC 834	Shred / Delete
ACR-A-225	Preliminary Change of Ownership Report (PCOR) and Change in Ownership Statement (CIO)	The PCOR and CIO records non-public information about the property, transferee and amount paid. State law (RTC 480.3) requires any transferee acquiring an interest in real property or manufactured home subject to property taxation, and that is assessed by the Assessor, to file a PCOR. If a PCOR is not filed at the time of recording, then the Assessor requires a CIO to be filed.		Title	When six years have elapsed since the lien date for the tax year for which that document was obtained.	RTC 465(a); RTC 834	Shred / Delete

FORM APPROVED COUNTY COUNSEL
BY *MCT* 4 NOV 20 DATE
MICHAEL C THOMAS

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
ACR-A-250	Change in Ownership - Completed Deeds / Special Deeds	Record of change in ownership used to determine type of re-assessment.		Title	P	Best Practice	County Archives
ACR-A-275	Change of Mailing Address	Taxpayer requesting a change of address for the mailing of the property tax bill.		Assessment Services	2 fiscal years from the receipt date of the request.	GOV 26202	Shred / Delete
ACR-A-300	Exclusions from Re-Assessment / Transfer of Value to Replacement Dwellings	Request from taxpayer for exclusion from re-assessment for property transfers (i.e., Parent and Child, Grandparent to Grandchild & between an Individual and Legal Entity). Also, request from taxpayer for transfer of base year value to replacement dwellings for seniors and disabled persons.		Title	When six years have elapsed since the lien date for the tax year for which that document was obtained.	RTC 465(a); RTC 834	Shred / Delete
ACR-A-325	Exemption Claims - Homeowners', Veterans' or Disabled Veterans'	Filing of property tax exemption from a homeowner, veteran or disabled veteran.		Public Service	Six years after the lien date of the tax year for which the exemption was last granted.	RTC 465(b); RTC 834	Shred / Delete
ACR-A-350	Exemption Claims - Welfare; Church; Religious; & Historical Aircraft	Filing of property tax exemption from qualifying organizations, e.g., Welfare, Church, and Religious organizations. Includes claims filed for: Historical Aircraft, Colleges, Public School, Cemetery, Library and Museum.		Exemptions	Six years after the lien date of the tax year for which the exemption was last granted.	RTC 465(b); RTC 834	Shred / Delete
ACR-A-375	Mapping Package - Cuts/Combines	Documentation used to assign new assessor parcel numbers. Includes, but is not limited to, forms completed by the property owners, plans, and recorded documents.		Mapping	Six years after the lien date of the tax year for which the documentation pertains.	RTC 465(a)	Shred / Delete
ACR-A-400	Assessor Maps	Assessor maps: Assessment illustrations to define physical location and size. For assessment purposes only.		Mapping	P	Best Practice	County Archives
ACR-A-425	Manufactured Home Title Records	Records indicating name and address of mobile home owner, description of mobile home, and mobile home park plans. Includes Housing and Community Development (HCD) title reports and HCD 433(a).		Manufactured Homes	P	Best Practice	County Archives
ACR-A-450	Manufactured Home Building Records	Records describing the assessment and value information manufactured homes. Includes cost worksheets, plans and dealer reports/invoices.		Manufactured Homes	Six years after the lien date of the tax year for which the documentation pertains.	RTC 465(a)	Shred / Delete
ACR-A-475	Separate Valuations	A separation of values to a parcel(s) that is split or combined into several or one parcel(s), respectively.		Assessment Services	Six years after the lien date of the tax year for which the documentation pertains.	RTC 465(a)	Shred / Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description	Code	Description				
ACR-A-500	State Board of Equalization Maps		Records supporting property assessed by the state (e.g., railroads and straddle counties).	Mapping	P	Best Practice	County Archives
ACR-A-525	Subvention Reports		California Open Space Subvention Act Program: provides the state with information regarding Agricultural Preserve acreage changes for the year. Substantiates refunds for lost monies due to participation in the Williamson Act.	Agriculture	9 fiscal years after the fiscal year in which created.	GOV 26202; Best Practice	Shred / Delete
ACR-A-550	Undivided Interest		Creation of an assessment to a portion of a parcel with multiple owners based on the percentage of ownership and base year acquisition.	Assessment Services	When six years have elapsed since the lien date for the tax year for which that document was obtained.	RTC 465(a); RTC 834	Shred / Delete



County of Riverside, California Departmental Records Retention Schedule (DRRS_ACR-C_2020_Rev05)

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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Introduction

This Departmental Records Retention Schedule (DRRS) for the Assessor-County Clerk-Recorder, Clerk Department (ACR-C) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted October 22, 2019 as agenda item # 3.7.

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.

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If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, public records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, the department will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the department is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the department will suspend any records destruction of the identified documents. (Board Policy A-43 § D.9)

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

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Explanation of Codes

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

BPC = California Business and Professions Code

CCP = California Code of Civil Procedure

CCR = California Code of Regulations

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

CORP = California Corporations Code

CY = Calendar year end

EXP = Expiration

FAM = California Family Code

GOV = California Government Code

P = Permanent



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Assessor-County Clerk-Recorder, Clerk
 Schedule Type: Departmental Records Retention Schedule (DRRS)
 Division: All
 Section: All
 Schedule #:
DRRS_ACR-C_2020_Rev05

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: *Peter Aldana* Date: 7/11/2020
 Peter Aldana, Assessor-County Clerk-Recorder

Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
ACR-C-100	Bonds & Surety Companies, List of	The Department of Insurance issues an annual list of registered Bond & Surety companies that is filed with clerk by date. Financial Statements; Annual financial statements of admitted sureties in California, on file with clerk by date. Power of Attorney, Appointment of/Power of Attorney Revocation; Surety company employee powers. Includes copies of power of attorney/ revocation of power of attorney. On file with clerk by date. Bail Bond insurance issuance / Revocation; Bail licenses issued/revoked by the Department of Insurance on file with the clerk by date.	Department of Insurance CY + 3	CCP 995.630; CCP 995.640; CCP 995.660	Shred / Delete
ACR-C-125	Daily Processing Logs	This includes scanning logs, notary journal receipt letter/logs, etc.	County Clerk CY + 2	GOV 26202	Shred / Delete
ACR-C-150	Deputy Commissioner For the Day	Applications and supporting documentation for Deputy Commissioner for the Day applicants.	County Clerk CY + 2	GOV 26202	Shred / Delete
ACR-C-175	Environmental Findings	California Environmental Quality Act: Negative Declaration and Notice of Determination, Public Notice of Environmental Finding (Posting Page) Duplicate copies of notices of projects with environmental impact implications.	County Clerk CY + 1	14 CCR 753.5(f)	Shred / Delete
ACR-C-200	Environmental Findings Index	Index is used to create the posting page.	County Clerk CY + 1	14 CCR 753.5(f); Best Practice	Shred / Delete
ACR-C-225	Error Suppsense Logs	Logs documenting errors and backup documentation supporting attempts to contact customer to correct errors.	County Clerk CY + 2	GOV 26202	Shred / Delete

FORM APPROVED COUNTY COUNSEL
 BY: *MCT* 4 NOV 20 DATE
 MICHAEL C THOMAS

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ACR-C-275	Fictitious Business Names	Original Fictitious Business Name Statements of for profit businesses, on file with clerk by file number. Statement of Abandonment and Withdrawal of Partnership, records of business name statements that have been abandoned or withdrawn, on file with clerk by file number. Affidavit of Publication of Fictitious Business Name Statement, proof that FBN statement was published with an adjudicated newspaper, on file with clerk by file number.	County Clerk	EXP + 4	BPC 17925(b); BPC 17927(a)	Shred / Delete
ACR-C-300	Humane Officer Oath of Office	Record of appointed Humane Officers, badge number, and judge appointment, date of expiration or revocation if applicable.	County Clerk	CY + 3	GOV 26202; Best Practice	Shred / Delete
ACR-C-325	Humane Officer Registry	Permanent Record of Humane Officers listing name, badge number, appointing judge, appointment date, expiration or revocation date.	County Clerk	P	CORP 14502(d); CORP 14502(f)(1); Best Practice	Dept.
ACR-C-350	Index of Deputy County Clerks	List information on appointments and revocations.	County Clerk	P	GOV 24102; Best Practice	Dept.
ACR-C-450	Marriages, Application and Court Order to Obtain Information re: Confidential	Application submitted to a judge to obtain information regarding a confidential marriage.	County Clerk	CY + 2	GOV 26202	Shred / Delete
ACR-C-475	Marriages - Application	Records related to the application for marriage licenses. Records series may include application worksheet and any supporting documentation for license.	County Clerk	CY + 2	GOV 26202; California Marriage Certificate Registration Handbook from DHS Pg.36, Par4 date 5/4/2009.	Shred / Delete
ACR-C-525	Marriages - Certificate of Confidential Marriage	Certificates and index of confidential marriage that establish a record of marriage.	County Clerk	P	FAM 511(b) may be microfilmed per GOV 26205; Best Practice	Dept.
ACR-C-535	Marriages -Expired / Unrecordable Licenses	License and related correspondence for public and confidential marriage that have expired or were un-recordable.	County Clerk	CY + 3	GOV 26202; FAM 360(b); Best Practice	Shred / Delete
ACR-C-550	Marriage, Index of Confidential	Permanent Index of Registered Confidential Marriages.	County Clerk	P	FAM 511(b) may be microfilmed per GOV 26205; Best Practice	County Archives
ACR-C-575	Marriages - Notary Authorization	Records related to the application and approval of a notary public authorizing them to issue confidential marriage licenses.	County Clerk	CY + 3	GOV 26202; Best Practice	Shred / Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
ACR-C-585	Marriages - Notary Authorization List	A list of the notaries public who are approved to issue confidential marriage licenses.	County Clerk	P	FAM 400(a); FAM 401(a)(d); FAM 534(a); Best Practice	Dept.	
ACR-C-600	Notary Journals	Notary journals and index deposited with county clerk following resignation, disqualification, removal from office or expiration of appointment.	County Clerk	Upon Court Order 10 years after receipt or reset date due to line item inquiry.	GOV 8209(c)	Shred / Delete	
ACR-C-625	Notary Journals, Index	Permanent index of deposited journals listing notary name, commission number, date journals were surrendered, destruction date of journals.	County Clerk	P	GOV 8209(c); Best Practice	County Archives	
ACR-C-650	Oaths - Notary Public	Notary public oaths taken, commission number, date of commission and copy of oath. On file with clerk by file number.	County Clerk	EXP + 1	GOV 8213(a)	Shred / Delete	
ACR-C-675	Oaths- Public Office	Oaths taken for public office filed with the County Clerk and expire upon revocation.	County Clerk	Revocation + 5	GOV 24102(d)	Shred / Delete	
ACR-C-855	Registrations	Records of registrations listing the name, file number, date filed and copy of cash deposit slip.	County Clerk	EXP + 3 (paper) or EXP + 10 (electronic)	BPC 6403(e); BPC 6405(g); BPC 22351(c); BPC 22452(c)	Shred / Delete	
ACR-C-860	Registrations Log	Record of registrations listing name, file number, date filed.	County Clerk	P	BPC 6407(a); BPC 22355(a); BPC 22457(a)	Dept.	
ACR-C-875	Roster of Public Agencies	Roster of names and addresses of public agencies and their officials as submitted by the public agency.	County Clerk; Secretary of State	P	GOV 53051(c)	Dept.	



County of Riverside, California Departmental Records Retention Schedule (DRRS_ACR-RMAP_2020_Rev03)

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Introduction

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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

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.

EXP = Expiration
GOV = California Government Code
REV = Until Revised or Superseded

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

BOS = Board of Supervisors

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



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Assessor - County Clerk- Recorder, Records Management and Archives Program
 Schedule Type: Departmental Records Retention Schedule (DRRS)

Division: All
 Section: All

Schedule #:
DRRS_ACR-RMAP_2020_Rev03

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

Department Head: *Peter Aldana* Date: 7/16/2020
 Peter Aldana, Assessor-County Clerk-Recorder

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
RMAP-100	Account Services	Records related to customer accounts. Records series may include Records Transfer lists, New Customer form, RS-Web registrations, etc.	RMAP	Close of Customer Account + 7	GOV 26202; Audit Support; Best Practice	Shred / Delete
RMAP-150	Archive Accessions	Documents that meet the historical requirement for Archival transfer. Includes Request for Records Transfer form, Agreement to Transfer Records form. May include authorized signatures and correspondence.	RMAP	P	GOV 26205.7; BOS Policy A-43; Best Practice	County Archives
RMAP-200	Database Records	Records supporting RMAPs internal inventory and billing software program. Records series includes manuals and upgrade documentation.	RMAP	REV + 2	GOV 26202; Best Practice	Shred / Delete
RMAP-250	Financial Reports	Reports produced to monitor spending, performance measures and other operations that reflect the financial stability of the RMAP program. Records series may include approved budget, rate analysis, correspondence, reports and spreadsheets.	RMAP	P	Best Practice	Dept.
RMAP-300	Logs	Records of routine activities within RMAP. Records series includes activity logs, daily courier runs, post office documentation, equipment readings, etc.	RMAP	CY + 2	GOV 26202	Shred / Delete
RMAP-350	Program History	Records related to projects initiated or undertaken by the program that contribute to the long-term understanding of the role it has played within the County.	RMAP	P	Best Practice	Dept.
RMAP-400	Project Files	Records related to projects initiated or undertaken that do not contribute to the long-term understanding or history of the program.	RMAP	CL + 2	GOV 26202; Best Practice	Shred / Delete
RMAP-450	Programs or Services	Records related to programs or services offered countywide such as photo lab, COM microfilm service, mail delivery services, etc.	RMAP	CL + 7	GOV 26202; Best Practice	Shred / Delete
RMAP-500	Software Licenses	Licenses connected to various purchased software. Records series may include correspondence and product documentation.	RMAP	EXP + 2	GOV 26202; Best Practice	Shred / Delete
RMAP-550	Surveys	Customer surveys used to determine whether or not RMAP is meeting current needs.	RMAP	CY + 2	GOV 26202	Shred / Delete
RMAP-600	Training Program - County	Documentation of countywide training provided by RMAP staff including regular RMAP Meetings and workshops. Records series may include pertinent handouts, PowerPoint slides and speaker notes.	RMAP	CL + 5	GOV 26202; Best Practice	Shred / Delete



County of Riverside, California Departmental Records Retention Schedule (GRRS_2020_Rev13)

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)
2724 Gateway Drive
Riverside, CA 92507
951-486-7067
(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 September 17, 2019 as agenda 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

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.

GOV = California Government Code

IIPP = Illness and Injury Prevention Program

P = Permanent

AV = Retained as long as Administratively Valuable

COB = Clerk of the Board

PEN = California Penal Code

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

CR = Creation (of the record) date

RTC = California Revenue and Tax Code

CSA = California State Archives

REV = Until Revised or Superseded

BOS = Board of Supervisors

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

CY = Calendar year end

USC = United States Code

CCR = California Code of Regulations

EPPA = Employee Polygraph Protection Act (1988)



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: All

Schedule Type: General Records Retention Schedule (GRRS)

Division: All

Schedule #:

GRRS_2020_REV13

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.

Department Head: *Peter Aldana*

Peter Aldana, Assessor-Clerk-Recorder

Date: *7/16/2020*

Record Series

Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Accounting (ACC)						
ACC100	Accounts Payable	Records documenting payment required to be made for goods and services. May include claims, credit card transactions, invoices, petty cash records, refunds, vouchers and warrants.	Auditor Controller & Dept.	FY + 7	GOV 26907; Audit Support	Shred / Delete
ACC150	Accounts Receivable	Records documenting payment received for goods and services provided by the county. May include collection notices & records, credit advices, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets.	Auditor Controller & Dept.	FY + 7	GOV 26907; Audit Support	Shred / Delete
ACC200	Banking	Records documenting transactions with an outside financing institution. May include statements, reconciliations, deposit slips, canceled checks for minor transactions, negotiated checks, returned checks, and check registers.	Auditor Controller & Dept.	FY + 7	GOV 26907; Audit Support	Shred / Delete
ACC250	Capital (Construction) Assets	Records related to the financial activities associated with capital (construction or building project) assets. May include inventories, material transfer files (surplus forms) and sale records.	Auditor Controller & Dept.	Disposal of Asset + 10	GOV 24051(b); CCP 337.15 Best Practice	Shred / Delete
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	GOV 26202; Audit Support	Shred / Delete
ACC275	Fixed Assets	Records related to the financial activities associated with fixed assets. May include inventories, material transfer files (surplus forms) and sale records.	Auditor Controller & Dept.	Disposal of Asset + 7	GOV 24051(b); Best Practice	Shred / Delete

FORM APPROVED COUNTY COUNSEL

BY: *MCT* *4 NOV 20* DATE

MICHAEL C THOMAS

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GOV 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	29 CFR 516.5(a); Audit support; Best Practice	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	29 CFR 516.6; Audit support; 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	GOV 26907; Audit Support	Shred / Delete
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	GOV 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	GOV 26202; Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
ADM175	Boards and Commissions	Record of items submitted to and decisions made by the Board of Supervisors as well as governing bodies and commissions subject to the provisions of the Brown Act. May include meeting agendas, minutes, exhibits, and staff reports as relevant to the outcome of the proceedings. May include ordinances, 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	GOV 25102; GOV 54950 et seq; BOS Policy A-21	COB; (GOV 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	GOV 81009(e); GOV 81009(f); Best Practice	Shred / Delete
ADM205	Conflict of Interest Statement - Designated Employees	Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 and its amendments related to the economic interests of County employees as designated by resolution of the County Board of Supervisors.	Dept.	Original = CY + 7; Copy = CY + 4	GOV 81009(e); GOV 81009(f); Best Practice	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	GOV 81009(e); GOV 81009(f); Best Practice	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	GOV 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	GOV 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	GOV 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

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GOV 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	PEN 933(b)	County Clerk (PEN 933(b))
ADM400	Grand Jury Reports - work papers	Departmental copies of reports issued by and responses to the County grand jury completed after studying the operations of any public agency subject to its reviewing authority. Departmental copies may not be held longer than the copy on file with the currently impaneled grand jury, which has a mandated retention of at least five years.	Dept.	CY + 5	PEN 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	GOV 26202; Best Practice	Shred / Delete
ADM450	Policy & Procedure - Boards and Commissions	Records documenting the policies and procedures approved for the County's Board of Supervisors and various committees and commissions. May include final policy, policy statements, by-laws and procedure manuals.	Clerk of the Board, subject body or supporting County department.	P	Best Practice	County Archives
ADM475	Policy & Procedure - departmental	Records documenting departmental policy and procedure. May include final policy, policy statements, procedure manual. May also include mission statements and organizational charts.	Dept.	REV + 3	GOV 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	GOV 26202; Best Practice	County Archives

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GOV 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 copy of the records provided if applicable.	Dept.	CY + 2	GOV 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.	GOV 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; 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	GOV 26202; CCP 343; Best Practice	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	GOV 26202; Best Practice	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	GOV 25102; GOV 26205.1; Best Practice	Dept and COB
ADM625	Submittal to the Board of Supervisors (Form 11s)	Items submitted for consideration to the Board of Supervisors, including records of proceedings and written descriptions of business conducted. May include annual reports, grand jury reports, and management reports.	Clerk of the Board	P	GOV 25102	COB; (GC 25104)
ADM650	Surveys	Responses to questionnaires, surveys, including comment cards or other feedback, received from the public.	Dept.	CY + 2	GOV 26202	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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.	GOV 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 information (RFI) and request for information (RFI).	Dept.	Termination of Contract + 7	CCP 337; GOV 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	GOV 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	GOV 25102	County Archives
FIN300	Budgets - supporting information	Records supporting the approved County budget and maintained as audit support. May include submissions and appeals in addition to budget manuals, spreadsheets, statistics, County Auditor Controller directives, and other data accumulated in the budget development, submission and presentation process.	Dept.	FY + 7	GOV 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	GOV 26907; GOV 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	GOV 26907; GOV 25501.5; Audit Support	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GOV 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; GOV 26202; 8 CCR 3220; Best Practice	Shred / Delete
HSA125	Fire Extinguisher Records	Records related to the inspection and maintenance of fire extinguishers. Records belonging to this series will be made available to the Assistance Secretary of Cal/OSHA upon request.	Dept. and County Human Resources	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	GOV 26202; Best Practice	Shred / Delete
HSA200	First Aid Records	Records documenting one-time first aid treatment and subsequent observation of minor illnesses and injuries if made onsite by a non-physician and maintained separately from the employee medical records.	Dept. Human Resources	T + 3	29 CFR 1910.1020 (d-1)(i-B); Best Practice	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	GOV 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)(ii)	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
HSA350	Injury and Illness Prevention Program	Records related to the steps taken to implement and maintain the Injury and Illness Prevention Program. Includes records of schedules and periodic inspections required by Cal/OSHA and the actions taken to correct unsafe conditions and records documenting required safety and health training. Also includes documentation of safety training for all employees including who attended and the topic discussed. May also include Safety Committee meeting records including issues discussed at meetings and results of investigation reviews.	Dept. and County Human Resources	CY + 3	8 CCR 3203(b) (1-2) and (c); County of Riverside IIPP Standard; Best Practice	Shred / Delete
HSA400	Injury and Illness Reports	Records related to reporting and documentation of employee injury or illness. Records may include the Cal/OSHA logs and summary forms [300, 300A and 301], decompression sickness incidents, dive team medical records, log of occupational injury or illness resulting in medical care. NOTE: In January 2002, Cal/OSHA replaced Form 200 with Forms 300, 300A and 301.	Dept. and County Human Resources	CY + 5	29 CFR 1904.33; 8 CCR 14300.33	Shred / Delete
HSA450	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 Dept. 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 Dept. and Purchasing Services	CL + 7	48 CFR 4.805; Best Practice	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 Dept. and Purchasing Services	CL + 10	CCP 337.15(a)	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
LEG250	Insurance Policies - any liability coverage	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	P	Best Practice	Dept.
LEG300	Insurance Policies-Workers Compensation Coverage	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	P	Best Practice	Dept.
LEG350	Insurance Policies - first party coverage only	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	T + 4	GOV 26202; CCP 337; Best Practice	Shred / Delete
LEG400	Leases - excluding real property	Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto.	Dept.	CL + 4	GOV 26202; CCP 337; Best Practice	Shred / Delete
LEG450	Leases - real property	Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto.	Dept.	CL + 4	CCP 337.2	Shred / Delete
LEG500	Legislative Liaison Records	Records documenting the progress of legislation of particular interest to a department. May include copies and drafts, correspondence, testimony, as well as background and research material.	Dept.	Until passed, failed or dropped by department + 2	GOV 26202; Best Practice	Shred / Delete
LEG550	Litigation Records	Records related to legal correspondence, pleadings and copies of court records. Records series may include transcripts, notices, interrogatories and depositions.	Dept.	CL + 10	CCP 1952.3; Best Practice	Shred / Delete
LEG600	Public Hearings Records	The official record of any public hearing where a forum for citizens or constituent group may voice opinions and concerns to public officials. These hearings are held separately from a regular or special meeting of a Board, Committee or Commission. May include agenda, minutes, submitted and/or distributed materials, transcripts, speaker sign up, written testimony, and official notices.	Clerk of the Board, subject body or supporting County department.	P	Best Practice	Dept.
LEG700	Subpoenas and 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	GOV 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	GOV 26202; Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GOV 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	GOV 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	GOV 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	GOV 26202; Best Practice	Shred / Delete
OFM250	Telephone Call Logs	Formal logs of incoming and outgoing telephone calls.	Dept.	FY + 3	GOV 26202; Best Practice	Shred / Delete
OFM300	Telephone Messages	Relevant notes documenting calls received that pertain to department activities.	Dept.	CY + 2	GOV 26202	Shred / Delete
OFM325	Vehicle Usage Reports	Records related to the use of County vehicles by County employees on County business. Records include mileage reports that contain the name of the employee utilizing the county vehicle, the date(s) the vehicle was used by the employee, the purpose of the trip and the starting and ending mileage.	Dept.	FY + 7	BOS Policy D-2; Audit Support	Shred / Delete
OFM350	Visitor Registration	Visitor logs, registers, or similar records documenting visitor access to limited access or restricted areas of agency	Dept.	CY + 3	GOV 26202; Best Practice	Shred / Delete
OFM400	Work Orders - originator copies	Work requests for maintenance services performed on County vehicles, equipment or property.	Dept.	CY + 2	GOV 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 30.12(d); Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
* Code	Title					
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; GOV 12946; Best Practice	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; GOV 12946; GOV 26202; Best Practice	Shred / Delete
PER150	Complaints / Grievances	Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Includes documentation of employee grievances, charges related to discrimination or harassment including those filed under or by EEOC/DFEH, County C-25 Harassment; Public Employment Relations Board (PERB), or a violation of Meyers-Millas-Brown Act. May also include an action brought by the Commission or the Attorney General against an employer under title VII.	County Human Resources	CL + 3	29 CFR 1602.31; 29 CFR 1602.14; GOV 12946; Best Practice	Shred / Delete
PER200	Corrective or Disciplinary Actions - Supervisors' copies	Supervisors' reference copies of records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Records may include arbitration decisions, demotions, documents pertaining to the action taken for reconsideration or appeal, employee discipline matters, investigation reports, notice of appeals, notice of discipline, records pertaining to adverse job actions, suspensions, terminations and written reprimands.	Dept.	CR + 2	29 CFR 1602.31; Best Practice	Shred / Delete
PER250	Employee Expense (Travel) Reports	Records related to employee travel on County business including justification. May include correspondence, requests, authorizations, itineraries, record of travel advances and expense reports.	Auditor Controller	FY + 7	GOV 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	GOV 53235.2(b)	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
* Code	Title					
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; GOV 26202; Best Practice	Shred / Delete
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); GOV 26202; Best Practice	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 3204 (c)(5); 29 CFR 1910.1020(d)(1)(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; GOV 911.2; GOV 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	GOV 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	GOV 26201; Best Practice	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
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	GOV 26202; Best Practice	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; GOV 12946; Best Practice	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); Best Practice	Shred / Delete
PER700	Volunteer Files	Records documenting a volunteer's service history. Records series may include acceptance letter, correspondence, duties or responsibilities, qualifications and/or resume, etc.	Dept.	T + 3	GOV 26202; Riverside County Ord. 440 § 11.c; Best Practice	Shred / Delete