

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



ITEM: 3.8
(ID # 21131)

MEETING DATE:
Tuesday, May 02, 2023

FROM : ASSESSOR-COUNTY-CLERK-RECORDER:

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER/RMAP: Approval of Revised 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 Housing and Workforce Solutions – Housing Authority; and
2. Approve the attached Revised Departmental Records Retention Schedule for Housing and Workforce Solutions – Housing Authority Successor Agency.

ACTION:4/5 Vote Required, Policy



Kan Wang, Assistant Assesor-County-Clerk Recorder 1/25/2023

MINUTES OF THE BOARD OF SUPERVISORS

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

Ayes: Jeffries, Spiegel, Washington, Perez and Gutierrez
Nays: None
Absent: None
Date: May 2, 2023
xc: ACR

Kimberly A. Rector
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	\$0	\$0	\$0	\$0
NET COUNTY COST	\$0	\$0	\$0	\$0
SOURCE OF FUNDS: N/A			Budget Adjustment: No	
			For Fiscal Year: 2022/2023	

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 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:

- 1. DRRS Housing and Workforce Solutions – Housing Authority** Supersedes DRRS Economic Development Agency – Housing Authority, adopted October 20, 2015, as Agenda Item # 3.6
- 2. DRRS Housing and Workforce Solutions – Housing Authority Successor Agency** Supersedes DRRS Economic Development Agency – Housing Authority Successor Agency, adopted October 20, 2015, as Agenda Item # 3.6


Stephanie Perez, Principal Management Analyst 4/21/2023


Kristine Bell-Valdez, Supervising Deputy County Counsel 4/13/2023



County of Riverside, California Departmental Records Retention Schedule (DRRS_HWS-HA_2023_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2016-126, "Pertaining to the Management, Retention, Destruction or Disposition of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
2724 Gateway Drive
Riverside, CA 92507
951-486-7067
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Housing Workforce Solutions, Housing Authority (HWS-HA) Department is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted October 20, 2015 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

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.



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: ~~Housing~~ ~~Workforce~~ ~~Solutions~~

Schedule Type: Departmental Records Retention Schedule (DRRS)

Division: Housing Authority

Schedule #:

Section: All

DRRS_HA_2023_Rev02

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

Department Head:

Carrie Harmon, Assistant Director of Economic Development and HWS

Date:

2/23/23

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
HWS-HA100	Housing Choice Voucher Program - Section 8	Records reflecting the initial eligibility, continued eligibility and termination for the Section 8 Housing Choice Voucher Programs. Record series includes ID, Social Security cards, birth certificates, questionnaires, income and asset documents, relocation documents, correspondence, rent notices, owner contracts, leases, termination notices, hearing packets and evidence to support.	Housing Authority	CL + 3	24 CFR 982.158(f)(1-8)	Shred/Delete
HWS-HA200	Program Files	Records reflecting the initial eligibility, continued eligibility and termination for Housing Authority Programs unrelated to Section 8. Record series includes ID, social security cards, birth certificates, questionnaires, income and asset documents, qualification documents with certifications, correspondence, rent notices, termination notices, hearing packets and evidence to support.	Housing Authority	CL +5	2 CFR 200.334; 24 CFR 91.520; 24 CFR 92.508 (c)(1-6); 24 CFR 570.502 (a)(16); 24 CFR 574.530; 24 CFR 960.205 (f)(3); 24 CFR 964	Shred/Delete
HWS-HA300	Project Files	Records documenting compliance with the US Department of Housing and Urban Development (HUD) procurement handbook and the California Public Contract Code and best practices. Record Series includes bid documents, licenses, insurance documentation, contracts, transmittals, HUD forms, change orders, reports, notices and certificates.	Housing Authority	Audit + 4	2 CFR 200.334 24 CFR 570.502 (a)(16); 24 CFR 574.530	Shred Delete

FORM APPROVED COUNTY COUNSEL

BY MCT 10 APR 23
MICHAEL C. THOMAS DATE



County of Riverside, California Departmental Records Retention Schedule (DRRS_HASA_2023_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2016-126, "Pertaining to the Management, Retention, Destruction or Disposition of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
2724 Gateway Drive
Riverside, CA 92507
951-486-7067
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Economic Develop Agency, Housing Authority Successor Agency (EDA-HASA) Department is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted October 20, 2015 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.

CCP = California Code of Civil Procedure

CFR = Code of Federal Regulations

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

GOV = California Government Code

HASA = Housing Authority of the County of Riverside as Housing Successor to the former Redevelopment Agency for the County of Riverside (RivCoHASA) and/or Housing Successor Agency to the former Coachella Redevelopment Agency (CoachellaHASA).

HOME = Home Investment Partnership Program

HSC = California Health and Safety Code

MHTL = Mobile Home Tenant Loan

MHRP = Manufactured Home Replacement Program

RDA = Redevelopment Agency



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Housing and Workforce Solution

Schedule Type: Departmental Records Retention Schedule (DRRS)

Division: Housing Authority Successor Agency

Schedule #:
DRRS_HASA_2023_Rev02

Section: All

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

Department Head:

Carrie Harmon
Carrie Harmon, Assistant Director of Economic Development and HWS

Date:

2/23/23

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
HWS-HASA100	Acquisition/Rehabilitation Program - Permanent Relocation	Records supporting relocation payments for acquisition / rehabilitation projects.	HASA	CL + 7	24 CFR 92.508(c)(2): Best Practice	Shred / Delete
HWS-HASA150	Applications	Records of all cancelled or denied applications for the Homeowners, HOME, and RDA Program. Records series may include applications, correspondence, and reports.	HASA	CL + 5	GOV 26202; Best Practice	Shred / Delete
HWS-HASA200	Development - HASA project with 45 year affordability period	Records supporting the administration of MHTL, MHRP and HASA projects with 45 year affordability periods. Records series may include administration files, allocation files Request for Qualifications, applicant project file, Joe Serna Fund application files.	HASA	CL + 50	GOV 65583.1 (c)(2)(A)(ii); Best Practice	Shred / Delete
HWS-HASA250	Development - Project Files	Records supporting the administration of MHTL, MHRP and HASA projects with 45 year affordability periods. Records series may include administration files, allocation files Request for Qualifications, applicant project file, Joe Serna Fund application files	HASA	CL + 10	CCP 337; CCP 337.2; Best Practice	Shred / Delete
HWS-HASA300	Homeowners Program 10yr affordability	Records supporting the administration of the down payment assistance and rehab programs with 10 year affordability period. Record Series may include administration files, funding allocation application files, Request for Qualifications, and homebuyer project and legal (original recorded documents) files.	HASA	CL + 15	24 CFR 92.508(c)(2) Best Practice	Shred / Delete
HWS-HASA350	Homeowners Program - 15yr affordability	Records supporting the administration of the down payment assistance and rehab programs with 15 year affordability period. Record Series may include administration files, funding allocation application files, Request for Qualification, and homebuyer project files and legal (original recorded documents) files.	HASA	CL + 20	24 CFR 92.508 (c)(2): Best Practice	Shred / Delete

FORM APPROVED COUNTY COUNSEL

BY: MCT 10 APR 23
MICHAEL C. THOMAS DATE

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
HWS-HASA400	Homeowners Program - 20yr affordability	Records supporting the administration of the down payment assistance and rehab programs with 20 year affordability period. Record Series may include administration files, funding allocation application files, Request for Qualification, and homebuyer project files and legal (original recorded documents) files.	HASA	CL + 25	24 CFR 92508 (c)(2); GOV 65583.1 (c)(2)(A)(ii); Best Practice	Shred / Delete
HWS-HASA450	Homeowners Program - 30yr affordability	Records supporting the administration of the down payment assistance and rehab programs with 20 year affordability period. Record Series may include administration files, funding allocation application files, Request for Qualification, and homebuyer project files and legal (original recorded documents) files.	HASA	CL + 35	24 CFR 92508 (c)(2); HSC 33334.13 (c); Best Practice	Shred / Delete
HWS-HASA500	Homeowners Program - 45yr affordability	Records supporting the administration of the down payment assistance and rehab programs with 45 year affordability period. Record Series may include administration files, funding allocation application files, Request for Qualification, and homebuyer project files and legal (original recorded documents) files.	HASA	CL + 50	24 CFR 92508 (c)(2); HSC 33334.13 (f)(1)(B); Best Practice	Shred / Delete
HWS-HASA550	Homeowners Program - 55yr affordability	Records supporting the administration of the down payment assistance and rehab programs with 55 year affordability period. Record Series may include administration files, funding allocation application files, Request for Qualification, and homebuyer project files and legal (original recorded documents) files.	HASA	CL + 60	24 CFR 92508 (c)(2); HSC 50843.5 (d)(1)(A)); Best Practice	Shred / Delete
HWS-HASA600	Homeowners Program no affordability	Records supporting the administration of the down payment assistance and rehab programs without an affordability period. Record Series may include administration files, funding allocation application files, Request for Qualification, and homebuyer project files legal (original recorded documents) files.	HASA	CL + 20	GOV 26202; Best Practice	Shred / Delete
HWS-HASA650	Monitoring Programs	Records supporting the tenant income for eligible HOME/RDA assisted units.	HASA	Last Audit + 7	24 CFR 92508 (c)(2); Best Practice	Shred / Delete
HWS-HASA700	Mortgage Credit Certificate Program - Project Files	Records supporting the administration of the Mortgage Credit Certificate Program. Record series may include administration file, funding allocation applications, Request for Qualifications, homebuyer project files and original certificate.	HASA	Allocation + 30	GOV 26202; Best Practice	Shred / Delete
HWS-HASA750	Release/ Reconveyance - Project Files	Records supporting the administration of subordinations, short sales, deed in lieu, foreclosures, and payoff. Record series may include administration files, homebuyer project files and original recorded documents.	HASA	Final payment + 7	GOV 26202; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
HWS-HASA800	Special Programs - Project Files	Records supporting the administration of specialty program without affordability restrictions. Record series may include administration file, Request for Qualifications, homeowner files, and original recorded documents for one-time grant programs for emergency housing, rental and rehab assistance.	HASA	CL + 10	GOV 26202; Best Practice	Shred / Delete