

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



ITEM: 3.7
(ID # 26478)

MEETING DATE:
Tuesday, December 10, 2024

FROM : ASSESSOR-COUNTY-CLERK-RECORDER

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER / RMAP: Approval of Revised Departmental Records Retention Schedule for County Human Resources (CHR), All Districts. [\$0] (4/5th Vote Required)

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached Departmental Records Retention Schedule for the County Human Resources (CHR).

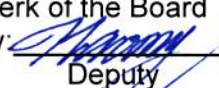
ACTION:4/5 Vote Required, Policy


Douglas Cady, Assistant Assessor County Clerk Recorder 11/14/2024

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 recommended.

Ayes: Jeffries, Spiegel, Washington, Perez and Gutierrez
Nays: None
Absent: None
Date: December 10, 2024
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: 2024/2025	

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 Schedule 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:

DRRS_CHR_2024_Rev06 – Supersedes DRRS_CHR_2023_Rev05 adopted October 17, 2023, Agenda item #3.9.

Cesar Bernal
Cesar Bernal, PRINCIPAL MGMT ANALYST 11/26/2024

Aaron Gettis
Aaron Gettis, Chief of Deputy County Counsel 11/26/2024



County of Riverside, California Departmental Records Retention Schedule (DRRS_CHR_2024_Rev06)

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
ACR-RIM@asrclrec.com
<https://www.rivcoacr.org/RiversideCountyRecordsManagement>

Introduction

This Departmental Records Retention Schedule (DRRS) for the County Human Resources (CHR) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted October 17, 2023, as Item #3.9.

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. Retention schedule changes apply to all documents unless they have been digitally uploaded into a Trusted System. The regulatory requirements include the immutability standards for objects in a Trusted System. This includes the initial retention applied to the digital file per RMAP management. 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.

BP = California Business and Professions Code

CCP = California Code of Civil Procedure

CCR = California Code of Regulations

CFR = Code of Federal Regulations

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

CR = Creation (of the record) date

CU = Current

CY = Calendar year end

EPPA = Employee Polygraph Protection Act (1988)

ERISA = Employee Retirement Income Security Act (1974)

FY = Fiscal year end

GC = California Government Code

OSHA = Occupational Safety and Health Administration

P = Permanent

REV = (Until) Revised or superseded

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



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: County Human Resources
 Division: All
 Section: All

Schedule Type: Departmental Records Retention Schedule (DRRS)
 Schedule #: **DRRS_CHR_2024_REV06**

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: Tami Douglas-Schatz
 Tami Douglas-Schatz, Director of Human Resources

Date: 10/30/2024

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
Benefits (BEN)						
CHR-BEN100	Actuarial Records	Records documenting the Actuarial Analysis of a specific Program. Records may include any documents, spreadsheets, financial, or loss data that is provided for the preparation of an actuarial report for any Health and Welfare Plan, Risk Management or Workers' Compensation Program.	County Human Resources	T + 4	GC 26202; Best Practice	Shred / Delete
CHR-BEN150	Benefit Plan Descriptions & Policies	Records documenting the Health, Welfare and Pension plans offered by the County of Riverside. Includes information pertaining to employee benefit plans such as medical, vision, dental, pension, life insurance, short-term disability, long-term disability, and life insurance as well as copies of any seniority systems and merit systems that are in writing.	County Human Resources	T + 4	29 CFR 1627.3(b)(2); Best Practice	Shred / Delete
CHR-BEN200	Benefit Plan Summaries	Records documenting the Health, Welfare and Pension Plans offered by the County of Riverside. Includes Summary Plan Documents (SPD) and Summaries of Material Modifications (SMM). Plan documents cover cafeteria plans, life insurance, short term and long term disability plans, dependent care assistance program (DCAP) plans, qualified transportation plans, educational assistance program documents, and records showing fiduciary responsibility.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete

FORM APPROVED COUNTY COUNSEL
 BY MCT 25 NOV 24
 MICHAEL C. THOMAS DATE

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-BEN250	Benefit Tracking	Records pertaining to employees selection of life, disability, health, and other types of insurance offered by the County of Riverside. May include confirmation of election, monthly statements, correspondence (to employee, beneficiaries or others), notices, and responses to service provider inquiries.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN300	Claim Records	Documentation used in the payment of employee health and death benefit claims, or payment to non-employees under liability policies. May include administrative processes, appeal forms, authorization forms, benefit approval and payment records, claim documents filed by plan participants or beneficiaries, claim procedures, death claims, denial review forms, documentation regarding decision periods, extension notices, forms used by the plan in claims processing, payment requests, plan explanations, protocols and urgent care claims.	County Human Resources	CL + 8	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN350	Deferred Compensation	Records pertaining to deferred compensation plans including the 457 Plan. Includes enrollments, contribution and investment changes and distribution requests.	County Human Resources	CL + 10	GC 26202; Best Practice	Shred / Delete
CHR-BEN400	Disability & Industrial Disability Retirement	Records related to the Disability & Industrial Disability Retirement Program. Includes the application for an industrial disability retirement by County of Riverside safety members, medical examination report, correspondence, privileged documents between the Return to Work Human Resources Services Manager and the Defense Counsel and signed authorization of employee/participant for a release of information in the industrial disability retirement investigative process.	County Human Resources	CR + 100	GC 26202; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-BEN450	Enrollment, Election & Eligibility	Records documenting the Health, Welfare and Pension Plans offered by the County of Riverside. Includes documents showing coverage; premium; beneficiary designations and communications with insurers and lists. May also include documentation to substantiate eligibility (including records documenting Qualified Medical Child Support Orders and National Medical Support Notices), eligible classes of employees and conditions, salary reduction elections and election changes, and termination of eligibility for cause.	County Human Resources	CL + 8	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN500	Exclusive Care - Administration	Records related to the administration of the Exclusive Care Program. May include accounting records, appeals, audits, complaints, correspondence, medical and hospital claims, minutes from physicians review meetings, phone logs, provider credentialing minutes.	County Human Resources	CL + 6	45 CFR 164.530(j)	Shred / Delete
CHR-BEN550	Exclusive Care - Contracts and Agreements	Records related to the administration of contracts and agreements pertaining to the Exclusive Care Program. Include agreements with non-contracted providers, contracts, correspondence, exclusive provider organization exhibit and provider profile, medical contractor agreement, plan documents, provider credentialing, supporting spreadsheets and worksheets.	County Human Resources	CL + 6	45 CFR 164.530(j)	Shred / Delete
CHR-BEN600	Flexible Spending Account (FSA) - County Administered Plan	Records documenting the administration of the Flexible Spending Account. Includes claim forms, deduction registers, demographic reports, denials, deposit reconciliations, election reports, explanation of benefits and FSA plan descriptions.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-BEN650	Health Insurance Portability and Accountability Act (HIPAA) Compliance	Records documenting the privacy administration of the Health, Welfare and Pension Plans offered by the County of Riverside. May include complaint logs or notices, evidence of creditable coverage, individual preexisting condition exclusions, individual requests for additional privacy protections, individual requests to inspect and copy records under the privacy rule, request to amend or correct personal health information, requests for accounting disclosures and requests for alternative communications.	County Human Resources	CL + 6	45 CFR 164.530(j); 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN700	Premium Payments	Records documenting payments made to benefit plans offered by the County of Riverside. Records series may include calculations and other data prepared by an enrolled actuary and documents necessary to support or to validate premium payments.	County Human Resources	CL (Premiums due) + 6	29 CFR 4007.10; 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN750	Privacy or Security Breaches	Records documenting privacy or security breaches of benefit plans offered by the County of Riverside. Records may include documents concerning complaints received and their disposition, complying with security rule standards and implementation specifications, harmful effects resulting from improper use or disclosure of personal health information and security rules or procedures.	County Human Resources	CL + 6	45 CFR 164.414 (a); 45 CFR 164.530(j); 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN800	Retirement Benefits - County Administered Plan	Records documenting County administered retirement benefits including records related to employee pension and insurance plans, which should be kept for the full period that the plan or system is in effect or any period in which benefits may be due or become due under the plan. May include enrollment cards, summaries of contributions and deductions, personal data forms, beneficiary information and authorizations.	County Human Resources	CR + 100	29 CFR 1627.3 (b)(2); 29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-BEN850	Waiver records	Records documenting an employee's decision to decline offered benefits. Records will show name, social security number, employment section or division, date and signature.	County Human Resources	T + 2	GC 26202; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
Compensation (COM)						
CHR-COM100	Classification and Appointments	Records detailing the process of systematically determining the relative value of County positions. Includes development and analysis of job descriptions and classification specifications including salary survey data. May also include annual guidelines, pay plans, relevant correspondence, and documents relating to wage and salary rates that are used for payroll comparison purposes and to demonstrate compliance with the federal Equal Pay Act.	County Human Resources	FY + 3	29 CFR 516.6(a)(2); 29 CFR 1602.32	Shred / Delete
CHR-COM150	Compensation	Records detailing the process of determining compensation for time away from work. Includes authorization for compensating time off and for extra hours/overtime, employee leave accrual and usage records where compensation was paid, record of hours worked and of wages paid, records of additions to or deductions from wages work/shift schedules, reports required by the Secretary of Labor, unemployment compensation contributions, wage rate tables, and withholding and deduction documentation. May also include documents concerning overpayments and payroll reimbursements.	County Human Resources	FY + 7	29 CFR 1627.3(a)(5) and (6); Best Practice	Shred / Delete
CHR-COM200	Occupational Group Study and Related Records	Records related to the development and analysis of job families within the County's classification plan. Records may include copies of approved and/or draft Form 11 requests, classification specifications, correspondence, difficult to recruit forms, meeting notes, position description questionnaires, parity study reports, Resolution 440 amendments, and study status logs. Records may also include those documenting the administration of the obsolete IT Competency Pay Program.	County Human Resources	FY + 10	GC 26202; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-COM250	Personnel Studies and Surveys	Studies, statistical reports, surveys, memoranda, cost analyses, projections, and comparable records that examine any long-range aspect of personnel administration. Records may include 440 Ordinances, 440 Resolutions, class and salary listings, salary schedules (wage rate tables) and classification specifications.	County Human Resources	P	Best Practice	Department
CHR-COM300	Tax Records - Employment	Records related to the collection and reporting of employment taxes for each employee. Includes name, address, social security number and basic demographics, compensation data including amounts and dates of actual payment and documentation to substantiate, and tax records that include amounts of wages subject to withholding, actual taxes withheld and documentation to substantiate.	County Human Resources	FY + 7	26 CFR 31.6001-1 (e)(2); Audit Support	Shred / Delete
CHR-COM350	Tax Records - Withholding	Records related to the authorized withholding of federal, state and local taxes. Includes copies of employees' and recipients' income tax withholding allowance certificates (Forms W-2, W-4, W-4P, W-4S, and W-4V). Records series may also include copies of these forms that were returned as undeliverable.	County Human Resources	REV + 7	26 CFR 31.6001-1 (e)(2); Best Practice	Shred / Delete
Health and Safety (HSA)						
CHR-HSA100	Accident and Safety Reports	Records related to the scheduled and unscheduled inspections of work areas with the purpose of identifying unsafe conditions and work practices. May include periodic safety evaluations, Bureau of Labor Statistics (BLS) Annual Reports, OSHA Citations and Correspondence. Records series may also include documentation of actual, alleged or reported workplace violence including specific details such as names, issues, department, supervisors, phone numbers and signatures.	County Human Resources	CY + 5	8 CCR 3203(b)(1); 8 CCR 14300.33 (a)	Shred / Delete

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

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-HSA300	Motor Vehicle Pulls (DMV) - Drug and Alcohol Testing: Education and Training	Records related to Drug and Alcohol Testing education and training. Records may include documents surrounding the collection process and collection log books, drivers training records (maintained while the employee performs the functions that require the training and for two years after ceasing to perform those functions), education and training of breath alcohol technicians, screening for test technicians and supervisors training.	County Human Resources	T + 2	49 CFR 382.401(b)(4)	Shred / Delete
CHR-HSA350	Safety Program - Employee Files	Records retained to confirm participation in and successful completion of safety training programs. May include Department of Transportation records, Authorization to Drive County Vehicle or Private Vehicle on County Business (Form 30), Vehicle Accident Review Board (VARB) records and appeals, vehicle accident reports and supporting documentation. See also County Safety Operations Manual and Salary Ordinance 440.	County Human Resources	CY + 5	8 CCR 3203(b)(2)	Shred / Delete
CHR-HSA400	Safety Program - Training and Evaluation	Records related to the analysis and evaluation of the effectiveness of employee health and safety training programs. Includes safety training records containing: name of class, date of class, list of those registered, list of those who attended and copies of any tests administered. Also includes studies, analyses, cost data, and similar records concerning employee accidents and comparable records pertaining to accident prevention and safety.	County Human Resources	CY + 5	GC 26202; OSHA 3148-01R 2015	Shred / Delete
Personnel (PER)						
CHR-PER050	Advancement and Promotional Records	Records documenting the internal announcements or advertisements of promotional or advancement opportunities. Includes applications, resumes, interview records, evaluations, letters of recommendation, test results and final list.	County Human Resources	CL of process + 3	29 CFR 1627.3; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-PER100	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs. Records series includes records of employees and unhired applicants that demonstrate compliance with the statutes and regulatory requirements of the Equal Employment Opportunity Commission (EEOC), including reports, plans, statistical data, and other source material used to complete EEO-4 reports.	County Human Resources	CY + 5	29 CFR 1602.32; 29 CFR 30.12(d)	County Archives
CHR-PER150	Application and Selection Files	Records documenting the internal and external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime. Includes applications, resumes, interview records, evaluations, letters of recommendation, references from previous employers.	County Human Resources	Successful: place in Personnel File; Unsuccessful: Close of Process + 3	29 CFR 1627.3; 29 CFR 801.30 (EPPA); 29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete
CHR-PER160	Assessment Records - Fit for Duty and Workplace Violence	Psychological assessment records generated at the request of the County of Riverside when an employee behaves at the workplace in a manner that suggests a mental health issue or a risk for workplace violence.	County Human Resources	T + 75	GC 26202; BP 2919; Best Practice	Shred / Delete
CHR-PER165	Assessment Records - Pre-employment / Promotional / Arming (Hired)	Psychological assessment records generated per state or POST requirements for employees who work in dispatch positions, who will have peace officer powers or who will work in sensitive correctional positions. May also include psychological assessment consultations generated at the request of Occupational Health due to concerns about a potential mental health issue in an applicant.	County Human Resources	T + 75	GC 26202; BP 2919; Best Practice	Shred / Delete
CHR-PER170	Assessment Records - Pre-employment - Adult (Not Hired)	Psychological assessment records generated per state or POST requirements for employees who work in dispatch positions, who will have peace officer powers or who will work in sensitive correctional positions. May also include psychological assessment consultations generated at the request of Occupational Health due to concerns about a potential mental health issue in an applicant.	County Human Resources	CR + 7	BP 2919	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-PER175	Assessment Records - Pre-employment - Minor (Not Hired)	Psychological assessment consultations generated at the request of Occupational health due to concerns about a potential mental health issue of an applicant.	County Human Resources	7 years from the date the patient reaches age 21	BP 2919; Best Practice	Shred / Delete
CHR-PER200	Collective Bargaining Agreements	Records documenting the process whereby workers organize collectively and bargain with employers regarding the workplace. Includes contracts, minutes, recordings, reports of collective bargaining negotiations/meetings, and associated correspondence and exhibits. May also include arbitration, arbitrator's recommendations, costing spreadsheets, memorandums of agreements (MOA) or memorandums of understanding (MOU), plans and trusts if a part of the union contract, research background material, strike contingency plans, tentative agreements, and union requests. May include documents/records pertaining to Labor Management Committee (LMC) meetings such as minutes, agendas.	County Human Resources	P	29 CFR 516.5 (b)(3); Best Practice	County Archives
CHR-PER250	Corrective or Disciplinary Actions / Grievances	Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Also including the review of employee grievances regarding grievance petitions, personnel policies, working condition and step 1, 2, and 3 decisions. Records may include arbitration decisions, demotions, documents pertaining to the action taken for reconsideration or appeal, employee discipline matters, investigation reports, notice of appeals, notice of discipline, records pertaining to adverse job actions, suspensions, terminations and written reprimands.	County Human Resources	CL + 10	29 CFR 1602.31; Best Practice	Shred / Delete

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

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-PER400	Position Assessment Records	Records related to requests for recruitments from departments. Records may include advertising records for open positions, applications and application history, bilingual designation, contact information, applicant resume, documentation of the position [location, manager, position#], documentation of the results of each step in the recruitment procedure, education extraction, electronic database record retention, employment denials, ethnicity disclosures, internal postings of open positions, interview history, items identified and qualification criteria, job postings, job requisitions submitted by the employer for recruitment, rating sheets, list of referred candidates, notation of position analysis, notes regarding qualifications/non-qualifications, references to requisitions, resumes (paper or electronic) and writing samples, if used in the qualification process.	County Human Resources	CL of the Process + 3	29 CFR 1602.31; GC 12946; Best Practice	Shred / Delete
CHR-PER450	Reasonable Accommodation Records	Records pertaining to requests for Disability Accommodation. Includes documentation of ADA self-evaluation, description of areas examined, problems identified and modifications made. May also include job specification, medical documentation of disability, medical inquires, medical release form, qualification/non-qualification of person/disability, sign language request form, work accommodation request and agreement forms.	County Human Resources	T + 3	29 CFR 1602.14; 29 CFR 1602.31; 29 CFR 1602.32	Shred / Delete
CHR-PER500	Work Authorization	Records related to an employee's authorization to work in the United States. Includes Form I-9 for each employee hired after November 6, 1986. I-9 forms should be kept in a file separate from other personnel records. May also include student work permits.	County Human Resources	CR + 3 or T + 2, whichever is later	GC 26202; US Citizenship and Immigration Services	Shred / Delete
CHR-PER550	Leave of Absence Reports/Requests	Records related to any employee request for leave of absence for medical or non-medical reasons. This includes requests for FMLA, CFRA, PDL, educational/personal leave, or "other" leave pursuant to the California Labor Code. 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

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-PER600	Military Leave Requests/Records	Records related to requests for military leave, which includes reviews, working documents and all supporting documentation including military orders.	County Human Resources	P	No statute of limitations under USERRA; Best Practice; 20 C.F.R. § 1002.311	Department
Program Records (PRO)						
CHR-PRO100	Educational Support Program	Records pertaining to the Educational Support Program. Records may include authorization to recover funds, career development plan, career interest inventory, copy of performance evaluation, copy of resume, educational support program 20/20 contract, justification forms, loan repayment file, participant file, program application, proof of current student loans, proof of textbook and tuition cost, reimbursement request form, signed authorization to recover funds form, signed acknowledgement of policies and procedures, transcripts and tuition reimbursement forms.	County Human Resources	CL + 6	29 USC 1001 et. seq.; 29 USC 1027 (ERISA 107); 29 USC 1059 (ERISA 209)	Shred / Delete
CHR-PRO150	Employee Assistance Program Adult	Records pertaining to the Employee Assistance Program. Records series includes reports, assessments, consultations, questionnaires, interview sheets, correspondence and similar records relating to the counseling of clients. Records series may also include employee assistance activity program reports, Exclusive Care activity reports, and Risk Management medical malpractice reports.	County Human Resources	Last date of entry + 7	BP 2919	Shred / Delete
CHR-PRO155	Employee Assistance Program Minor	Records pertaining to the Employee Assistance Program. Records series includes reports, assessments, screenings, questionnaires, interview sheets, correspondence and similar records relating to the counseling of clients. Records series may also include employee assistance activity program reports, Exclusive Care activity reports, and Risk Management medical malpractice reports.	County Human Resources	7 years from the date the patient reaches age 18	BP 2919	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-PRO160	Occupational Health Patient Files	Records pertaining to Occupational Health Injury Intervention Therapy Program. Records series includes, notes, correspondence, questionnaires, documentation, and similar records pertaining to the IIP program.	County Human Resources	Last date of visit + 10	22 CCR 70751(c); Best Practice	Shred / Delete
CHR-PRO165	Occupational Health Respiratory Fit Test	Records Pertaining to Respiratory Fit Testing of Non-Employee or Contract Employees. Record series may include, respiratory fit tests, questionnaires, sign in sheets and documentation related to respiratory fit testing.	County Human Resources	Last date of visit + 10	29 CFR 1910.134 (m)(2)(ii); Best Practice	Shred / Delete
CHR-PRO200	Return to Work Program - Employee Records	Records related to the Return to Work Program. Includes all documentation concerning paid or unpaid leave status, any dispute or complaint from an employee concerning any legislative leave, benefit premium information, documentation detailing the dates and hours requested for any legislated leave, employee requests for and notices given related to leaves of absence.	County Human Resources	CL + 3	GC 26202; Best Practice	Shred / Delete
CHR-PRO250	Ride Share	Records related to the County's Ride Share Program. Includes program enrollment and expense documentation such as survey data, expense reports, feasibility studies, Inland Transportation Services inventory and other documentation showing actual usage and sustainability of the program.	County Human Resources	CY + 3	South Coast Air Quality Management District (AQMD) requirements	Shred / Delete
CHR-PRO300	Wellness Program Biometric Data	Laboratory data collected as part of the countywide Wellness program and health study. Data is used for statistical analysis and program success evaluation.	County Human Resources	CY + 7	GC 26202; Best Practice	Shred / Delete
Risk Management (RM)						
CHR-RM100	Audit Reports - Internal	Records maintained to analyze claims and loss data in order to evaluate County insurance exposure.	County Human Resources	FY + 7	BP 5097(e)	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-RM150	General Liability and Professional Liability Claims	Records maintained as documentation of claims for or against the County. Records establish the facts that support or negate liability. Records series may include photographs, diagrams, interviews and reports.	County Human Resources	CL + 20	GC 26202; Best Practice	Shred / Delete
CHR-RM200	General Liability Claims - Business Rules	Business rules related to the handling of liability claims for the County. This manual is maintained in order to ensure the consistent handling of claims per County of Riverside policy.	County Human Resources	P	Best Practice	Department
CHR-RM250	Insurance Policies - Certificates	Certificates issued as proof of insurance coverage and provided to third parties as such.	County Human Resources	P	GC 26202	Department
CHR-RM300	Insurance Policies - Applications	Applications to County insurance programs qualifying departments and physicians (malpractice) for coverage under the County's policy.	County Human Resources	CL + 7	BP 5097(e)	Shred / Delete
CHR-RM350	Structured Settlements	Records documenting the assignment of annuities in a structured settlement of claims. Annuities can contain provisions of payments to minor claimants in excess of 20 years into the future.	County Human Resources	CL + 30	BP 5097(e); Best Practice	Shred / Delete
CHR-RM400	Worker's Compensation - Claims	Records related to the administration of the County's self-insured program and related claims. Includes all notices sent to the employee whether the claim is an indemnity or medical-only claim. Records series may also include accident reports; claim forms; hospital, physician and emergency medical service bills and reports; correspondence; legal papers; and other documentation relating to claims eligible under worker's compensation laws.	County Human Resources	CL + 7	8 CCR 10102(a); 8 CCR 15400.2; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
CHR-RM410	Worker's Compensation - Permanent Disability - Without a claim	Records related to the administration of the County's self-insured program and claims related to a finding of permanent disability. Includes all notices sent to the employee whether the claim is an indemnity or medical-only claim. Records series may also include accident reports; claim forms; hospital, physician and emergency medical service bills and reports; correspondence; legal papers; and other documentation relating to claims eligible under worker's compensation laws. All records that do not have an award from the Workers' Compensation Appeals Board for permanent disability or need for future medical care.	County Human Resources	CL + 25	8 CCR 10150.3(a) Per CCR Article 9 15400.2(a) - claims with awards for future benefits shall not be destroyed CL + 25; Best Practices	Shred / Delete
CHR-RM420	Worker's Compensation - Permanent Disability - With a claim	Records related to the administration of the County's self-insured program and claims related to a finding of permanent disability. Includes all notices sent to the employee whether the claim is an indemnity or medical-only claim. Records series may also include accident reports; claim forms; hospital, physician and emergency medical service bills and reports; correspondence; legal papers; and other documentation relating to claims eligible under worker's compensation laws. Records related to the administration of the County's self-insured program and claims related to a finding of permanent disability or need for future medical care as awarded by the Workers' Compensation Appeals Board (WCAB).	County Human Resources	P	8 CCR 10150.3(a); Per CCR Article 9 15400.2(a) - claims with awards for future benefits shall not be destroyed CL + 25; Best Practices	Department
CHR-RM450	Workers' Compensation - Record Only	Records related to the administration of the County's self-insured program and related claims of injury where no treatment was received beyond first aid and no claim number was assigned.	County Human Resources	CY + 5	GC 26202; 8 CCR 9771.83	Shred / Delete