

COUNTY STANDARD ADMINISTRATIVE RECORDS RETENTION SCHEDULE										
			DEPARTMENT		DIVISION	SECTION	UNIT	EFFECTIVE DATE: 5/24/1977	REVISION DATES: 9/14/1999, 9/26/2017	SCHEDULE NO. 16C
			Countywide		All	All	All	All	All	All
Item No.	TITLE AND DESCRIPTION OF RECORDS					RETENTION	DISPOSITION	APPLICABLE LAW	LOCATION	REMARKS
1	ACCOUNTING RECORDS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation for Journal Vouchers, Petty Cash Records, Invoices Paid, Requests for Checks and Vouchers, Notice of Checks Returned and Expense Account Records.					Retain current FY + 5 years and until after all scheduled audits.	Destroy after 5 years and after all scheduled audits.	Gov. Code § 26907	Computer networks and applications, office filing cabinets	
2	APPOINTMENT CALENDARS					Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets, email software	
3	AUTHORIZED SIGNATURE LIST FILE Signatures of employees authorized to sign purchasing, payroll, personnel, and other forms.					Retain until updated or 5 years, whichever is longer.	May destroy after updated.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	
4	CASH REGISTER TAPES, RECEIPT BOOKS AND CANCELLED CHECKS Records pertaining to monies received for various departmental services.					Retain current FY + 5 years and until after all scheduled audits.	May destroy after 5 years and after all scheduled audits.	Gov. Code § 26202	Computer networks and applications, office filing cabinets, Records Center	
5	CONTRACTS AND AGREEMENTS RECORDS Records documenting purchase, rental, lease, maintenance, service, and construction agreements with vendors. Includes bids, proposals, change notices, contracts, and other supporting documents.					Retain until end of FY of final action or expiration of contract + 4 years.	May destroy documents after 4 years. However, documents stored electronically in ERM/CAPS+ and Bidsync are kept permanently.	Code of Civil Procedure § 337	Computer networks and applications, office filing cabinets	
6	DATA INPUT DOCUMENTS Records used only as data input sources for a computer system.					Retain until revised and administrative value ends or 2 years, whichever is longer.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	
7	DEPOSIT ORDERS AND DEPOSIT RECEIPTS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation and related records.					Retain current FY + 5 years and until after all scheduled audits.	Destroy after 5 years and after all scheduled audits.	Gov. Code § 26907.2	Computer networks and applications, office filing cabinets	
8	FISCAL RECORDS Documentation collected for budget preparation.					Retain current FY + 2 years.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	
9	FIXED ASSET RECORDS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation relating to inventory of all departmental fixed assets, control of fixed assets within the department, fixed asset documents, disposition orders and related records.					Retain until final disposition of fixed asset + 5 years.	Destroy 5 years after final disposition of fixed asset.	Gov. Code § 24051	Computer networks and applications, office filing cabinets	

NOTE: Records, in any format, that are the subject of a legal hold or California Public Records Act request must be retained until the claim, litigation, or PRA request is resolved.

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	Countywide		All	All	All					
	TITLE AND DESCRIPTION OF RECORDS		RETENTION	DISPOSITION	APPLICABLE LAW				LOCATION	
10	INTELLECTUAL PROPERTY Includes records relating to the County's intellectual property (e.g. copyright, trademarks, and patents) rights such as contracts, amendments, change orders, license agreements and amendments thereto, assignment agreements, applications and registrations, supporting documents, and other documents evidencing the development, ownership, and/or transfer of such rights by the County and/or to the County.		Life of the intellectual property right + 7 years and until County Counsel and applicable department head approve the destruction of the records in writing.	May destroy after life of the intellectual property right + 7 years and until County Counsel and applicable department head approve the destruction of the records in writing.	Copyright Act of 1976 [17 U.S.C. §§ 101-810 and related statutes]; the Lanham (Trademark) Act [15 U.S.C. Ch. 22 and related statutes]; and the U.S. Patent Act [35 U.S.C. §§ 1 <i>et seq.</i> and related statutes].	Computer networks and applications, office filing cabinets				
11	MEMBERSHIP RECORDS Includes invoices, authorizations, and payment method.		Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets, Records Center				
12	MILEAGE CLAIMS Records of employee mileage claims requesting reimbursement. Includes claim forms and supporting documentation.		Retain for 5 years.	Scanned into ERM. Paper copies are destroyed upon scanning into ERM. Images kept in ERM for 5 years. May destroy after 5 years, providing audits are complete.	Gov. Code § 26907	Computer networks and applications, office filing cabinets, Records Center				
13	POLICIES AND PROCEDURES, REGULATIONS AND RULES Officially-adopted policies, procedures or public rules affecting the entire County. Internal procedures and instructions. Guidance on any routine internal procedures or protocols required for day-to-day business operations.		Retain until revised and administrative value ends or 2 years, whichever is longer.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	Departments may want to consider preserving these records as reference materials.			
14	POSTAGE RECORDS Records of postage added to postage meter, postage refunds, and postage usage.		Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets				
15	PROCUREMENT RECORDS Various documents relating to the acquisition of office supplies, forms, equipment, and services from vendors. Includes purchase orders, invoices, correspondence, and supporting data. [Note: Requisitions are described below]		Retain current FY + 4 years.	May destroy documents after 4 years. However, documents stored in ERM/CAPS+ are kept permanently.	Code of Civil Procedure § 337	Computer networks and applications, office filing cabinets				

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16	PROCUREMENT REQUISITIONS Requisitions for supplies, equipment, printing services, and other material and services.			Retain current FY + 3 years.	Retain 2 years minimum.	May destroy documents after 3 years. However, documents stored in OC Expediter are kept permanently.	Gov. Code § 25501.5	Computer networks and applications, office filing cabinets	
17	PUBLIC RECORDS ACT REQUESTS Requests, responses and responsive records.			Retain 2 years minimum.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications	Note that the retention period for the original/non redacted responsive records could expire, but the responsive records should be kept for 2 years.
18	RECORD DESTRUCTION DOCUMENTATION Records documenting the routine, periodic destruction of departmental records. Includes authorizations to destroy records and other supporting information.			Retain 2 years minimum.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	
19	RECORDINGS OF PHONE AND RADIO COMMUNICATIONS			Retain for 100 days or until pending investigation is over.	Retain 2 years minimum.	May destroy after 100 days or until pending investigation is over.	Gov. Code § 26202.6	Computer networks and applications	
20	RESEARCH Includes questionnaires, surveys, and similar records used to gather data for reports and studies.			Retain until administrative value ends.	Retain until administrative value ends.	May destroy after revised and after administrative value ends.	64 Cal. Op. Att'y Gen. 317 (1981)	Computer networks and applications, office filing cabinets	Could be considered transitory records.
21	ROUTINE VIDEO MONITORING			Retain 1 year or until pending investigation is over.	Retain 2 years minimum.	May destroy after 1 year or until pending investigation is over.	Gov. Code § 26202.6	Computer networks and applications	
22	TELEPHONE BILLS Copies of paid bills.			Retain 2 years minimum.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	
23	TRAVEL REQUESTS Includes all supporting documentation.			Retain for 5 years.	Retain 2 years minimum.	May destroy after 5 years, providing audits are complete.	Gov. Code § 26907	Computer networks and applications, office filing cabinets, Records Center	

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				RETENTION	DISPOSITION	APPLICABLE LAW
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						REMARKS
24	TRAINING RECORDS Curriculum and materials developed.			Retain until revised and administrative value ends or 2 years, whichever is longer.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Computer networks and applications, office filing cabinets
25	TUITION REIMBURSEMENTS Includes all supporting documentation.			Retain for 5 years.	May destroy after 5 years, providing audits are complete.	Computer networks and applications, office filing cabinets, Records Center
26	VOLUNTEER/INTERNS FILES May include, but are not limited to, application/registration/placement documents, background screening verification, monitoring/reporting/training/service records.			Retain records for duration of Volunteer/Intern placement + minimum of 2 years.	May destroy records 2 years after Volunteer/Intern placement has ended.	Computer networks and applications, office filing cabinets
27	WORK REQUESTS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation relating to requests for alterations, repairs, improvements, and construction.			Retain 2 years minimum.	May destroy after 2 years.	Computer networks and applications, office filing cabinets

NOTE:

1. Transitory records contains records which may be destroyed at any time due to their temporary and nonessential nature. This includes, but is not limited to, the following: preliminary drafts, working notes, and other materials not kept in the regular course of business, or duplicate copies of documents used for reference only.
2. The County Archivist should be consulted to preserve records of historical value prior to their ultimate disposition. Records subject to a legal hold or Public Records Act request must be retained.
3. Departments should not store duplicate copies at the Records Center, although Departments may have duplicate copies of the following records in which the County official record is kept by a single department pursuant to its Departmental Records Retention Schedule, including but not limited to:

Auditor-Controller: Labor Distribution Reports, Bi-Weekly Timesheets, Payroll Registers, Fixed Asset Inventory, Requests for Checks and Vouchers, Invoices Paid, Deposit Orders and Receipts, Journal Vouchers, Petty Cash, Cancelled Checks, Notice of Checks Returned, Expense Account.

Clerk of the Board: Audit Reports Issued by Internal Audit and Office of Performance Audit, Board of Supervisors Minutes and Agendas.

County Counsel: County Counsel Opinions.

County Executive Office - Human Resource Services: Employee Personnel, Personnel Recruitment, Employee Review Notification Report, Master Position Control Report.

County Executive Office - Information Technology: Telephone Services.

County Executive Office - Risk Management: Injury and Illness Prevention Program, Workers' Compensation Claim Files.

OC Public Works: Work Requests

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County Records Management Policy

Frequently Asked Questions

The purpose of this document is to clarify and provide explanations concerning the proposed County Records Management Policy (Policy). This document will be updated as needed and posted with the Policy in the IntraOC County Policy Library.

General Questions

1. When is this policy effective?

Effective Date: *December 1, 2017*

The time between Board approval on September 26, 2017, and the effective date will allow for department education and training.

2. Why now?

The County last updated its Records Retention Schedule for Standard Administrative Records in 1999, so it is in need of updating. Records retention schedules must be reviewed and updated periodically to reflect new records and recordkeeping requirements. Updated records retention schedules provide departments with an effective tool to manage the creation, capture, storage and disposition of records.

Additionally, the recent California Supreme Court opinion in *City of San Jose v. Superior Court* (March 2, 2017), necessitated the development of a new County policy regarding the use of private devices and accounts for public business. The new policy, Restrictions on Use of Private Devices and Accounts for County Business Policy, and the consequent need to align the County's records retention schedule and the overall records management policy with this new policy provide other reasons for addressing this issue now.

3. What is the difference between 16C and a departmental records retention schedule?

16C contains official records commonly maintained by all County departments and that are not separately governed by laws that are specifically applicable to that department's unique documents. A departmental records retention schedule contains official records unique to that department and governed by specifically applicable laws.

4. What happens if there are records not identified on 16C?

If the record(s) is determined to be a Countywide record, then the County Executive Office (CEO) may revise 16C to include it. Or, if the record(s) is specific to a department, then it can be incorporated into the appropriate departmental records schedule. Updates to both types of records retention schedules must be approved by the Board of Supervisors.

5. Anticipated impacts of Policy implementation?

Emails

All emails must be deleted from the department's email servers two years and one day after sent/receipt. Emails that are subject to longer retention periods, as determined by the content



County Records Management Policy

Frequently Asked Questions

of the message, must be retained in on-site locations (e.g. computer networks and/or applications) and destroyed per applicable records retention schedules.

PST files are acceptable only if they contain emails that are subject to more than two years retention and they are not stored on the email server.

Text Messages

Text messages on County-issued devices shall only be used for transitory records, unless otherwise expressly exempt by a department head or designee.

16C

Seven new items were added:

- 10 - Intellectual Property
- 17 - Public Records Act Requests
- 19 - Recordings of Phone and Radio Communications
- 21 - Routine Video Monitoring
- 24 - Training Records
- 25 - Tuition Reimbursements
- 26 - Volunteer/Intern Files

Please see Attachment E - Crosswalk included in ASR 17-000875 for more information.

6. Will training be provided?

County Counsel and CEO will provide policy training for department Custodians of Record (CORs), who in turn will train their department custodians. After the initial training, periodic training updates will be provided.

7. Are departments required to update their departmental records retention schedules?

As with 16C, departmental records schedules must be reviewed and updated periodically to reflect new records and recordkeeping requirements created by new laws, regulations, programs and reporting requirements. Departments should continue to update their records retention schedules as needed.

Policy Questions

8. What are the related County's policies?

- a. eDiscovery Policy
- b. Legal Hold Policy
- c. Media Contact, PRA and Public Event Notification
- d. Restrictions on use of private devices and accounts for County business

[Click here to access these policies in the County Policy Library](#)



County Records Management Policy

Frequently Asked Questions

9. How does retention differ between an official and a transitory record?

Official records are subject to retention under records retention laws or regulations. Once an official record's retention period ends, it may be destroyed, unless otherwise subject to a pending PRA request or legal hold. Transitory records do not have retention periods and may be destroyed at any time, subject to a legal hold or PRA request.

10. What are some examples of transitory records?

Examples of transitory records may include, but are not limited to:

- a. Preliminary drafts such as documents that have not been finalized
- b. Working notes such as notes written or typed from a meeting that have not been finalized
- c. Memoranda not kept in the ordinary course of business such as invites/flyers to a birthday/celebration lunch

11. What is the difference between an official record and a public record?

Official records are subject to retention under records retention laws or regulations. Public records include any writing that relates in some substantive way to the conduct of the public's business. Official records may be public records but they are also subject to records retention laws and regulations.

12. What are on-site records versus off-site records?

Off-site records are those that still require retention, but which are no longer needed for frequent reference and which have been transferred to off-site storage until such time as they are scheduled for destruction. Many categories of records can be transferred to offsite storage and, after the established retention period, may be subsequently destroyed.

On-site records are those housed in a custodian's workplace environment. The on-site records can be paper and/or electronic format and located in filing cabinets and various electronic mediums such as share drive, Intranet and applications like OnBase, Expediter, CAPS, etc.

13. How many records are at the Records Center?

- There are 45,582 boxes at the Records Center and capacity is 47,300.
- On average, there are about 3,700 boxes sent to the Records Center each year and 4,000 are destroyed.

14. How many records are at the County Archives?

- There are 445,500 items in the archives. Of that, there are over 3,600 records storage boxes.

15. Who can I contact with questions about my departmental records retention schedule?

Please contact your department COR with questions regarding records. The County Records Center staff may also be able to help provide additional contacts if needed.



County Records Management Policy

Frequently Asked Questions

16. Why do all of the records retention ASRs go through OC Public Works?

OC Public Works is responsible for the Records Center and, as such, is the designated coordinator for records retention schedules.

17. What type of emails can I delete?

Email retention is determined by the content of the message. If the email is considered a transitory record, it may be deleted at any time unless it is subject to a PRA request or legal hold prior to deletion. Emails housed on the County's email servers will automatically be deleted after two years and one day.

18. Since departments are going to set their email servers to automatically delete emails two years and one day after sent/receipt, where should I store emails that are subject to longer retention?

Such emails should be retained in on-site locations such as a share drive, OC Intranet or an application like OnBase, Expediter, CAPS, etc.

19. How many emails does the County receive per month?

In May 2017, the County received about 9 million emails. About half of those emails were malicious in nature and were blocked or quarantined automatically by the County's system.

16C Questions:

20. What are the changes from 16B to 16C?

Please see Attachment E - Crosswalk included in ASR 17-000875.

21. Some of the records listed in 16C are also listed on my departmental records retention schedule but the retention and disposition are different, so which one should I follow?

Please follow your departmental records retention schedule.

22. For Item No. 1, what constitutes a record listed as "Supporting Documentation Only?"

These are records that were not submitted to Auditor-Controller and which, as the name implies, are for supporting documentation only.

23. For Item No. 6, what are examples of Data Input Documents?

An example of a data input document would be a record, such as a completed form, which a custodian would use to obtain information which is then entered into a database.

24. Can you please provide more clarification on the note in the footer of 16C?

When records are subject to a legal hold or PRA request, the normal retention and disposition of those records does not apply until the legal hold or PRA request is closed. For example, if there was a PRA request seeking appointment calendars from September 1, 2015, to the



County Records Management Policy

Frequently Asked Questions

present, and the retention schedule states that the record may be destroyed after 2 years, the record cannot be destroyed on September 2, 2017, unless the PRA has been resolved.

25. What happens if records are inadvertently destroyed before their disposition period?

It depends on the type of record and the particular case surrounding its destruction.

26. For Item No. 17, do we need to keep the attachments to the responses to PRA requests (e.g. I have 50 documents attached to the response, are those documents subject to retention as well)?

Yes, those are considered responsive records so they need to be retained for a minimum of 2 years.

For additional questions, please contact:

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