DEAN C. LOGAN
Registrar-Recorder/County Clerk

May 4, 2016

TO: Audit Committee

FROM: Dean C. Logan
Registrar-Recorder/County Clerk

SUBJECT: **REVIEW OF BOARD POLICY No. 3.040**

Responsibility for the County's Records Management Program was transferred from the Chief Executive Office (CEO) to the Registrar-Recorder/County Clerk (RR/CC) in April of 2013. The RR/CC, in continuous collaboration with the Chief Information Office, CEO, and County Counsel, has reviewed Board Policy No. 3.040 - General Records Retention and Protection of Records Containing Personal and Confidential Information. The RR/CC recommends changes to the existing policy. In support of these changes, the RR/CC has attached for your review the proposed County record retention schedules; the draft revised Board Policy No. 3.040; the draft resolution; and the draft Board Letter.

OVERVIEW OF PROPOSED BOARD POLICY CHANGES

All proposed changes are the culmination of a multi-departmental collaboration to enhance the effectiveness of Board Policy No. 3.040 through the adoption of the County's first record retention schedules. The proposed revisions to the policy will provide greater guidance for the effective management of County Official Public Records and archival material. Also, these revisions propose to bifurcate the existing policy by separating the subject matter relating to the management of County records and archive from that relating to the protection of personal and confidential information. This bifurcation has resulted in the recommended creation of Proposed Board Policy No. 3.041 Protection of Records Containing Personal and Confidential Information

The proposed changes to Board Policy No. 3.040 are summarized as follows:

Title of Policy
Records Management and Archive of County Records

Purpose of Policy
Provide departments with general records management and archiving guidelines in the creation/receipt, use, retention, and disposition of official County Public Records.

Removal of Policy References Related to the following

1. February 28, 2006, Board Order No. 23-A
2. May 2, 2006, Board Order No. 3
3. Policy No. 6.100: Information Technology and Security Policy
4. Policy No. 6.101: Use of County Information Technology and Security
5. Policy No. 6.106: Information Technology Physical Security
6. Policy No. 6.107: Information Technology Risk Assessment
7. May 8, 2007, Board Order No. 26
8. Policy No. 6.109: Security Incident Reporting
9. Policy No. 6.110: Protection of Information on Portable Computing Devices
10. Policy No. 6.111: Information Security Awareness Training
11. Policy No. 6.112: Secure Disposition for Computing Devices

Addition of Policy References Related to the following

1. California Government Code 26201
2. California Government Code 26205
3. California Government Code 26205.1
4. California Government Code 12168.7
5. April 30, 2013, Board Order No. 71
6. Los Angeles County Code Chapter 2.32 – Registrar-Recorder/County Clerk

Additions Related to Records Management and Archives

1. County Records Management and Archives Program
2. Definition of Official Public Record
3. Record Retention and Disposition
   - Record Retention
   - Records Not Included in a Retention Schedule
   - Record Disposition
     - Litigation Hold and Public Record Request
     - Administrative and Fiscal Value
     - Historical/Archival Value
4. Retention of Vital Records
5. Contracted Services That Store Official County Records and Non-Records

Change of "Responsible Department"

Change to the Registrar-Recorder/County Clerk

Creation of New Board Policy No. 3.041

1. Protection of Records Containing Personal or Confidential Information
2. Destruction of Records Containing Personal or Confidential Information
3. Confidential Information and Incident Reporting structure recommended from our last meeting with you on October 15, 2014
4. Removal of Records Management Content

ATTACHMENT I: LETTER TO THE BOARD

Under the provisions dictated in Section 2.32.370, Title 2, Administration, of the County Code, the RR/CC is charged with the responsibility of submitting to the Board of Supervisors retention and disposition schedules for all Official Public Records of County departments.

The purpose of the Board Letter is to recommend the following:

1. Approve revisions to Board Policy No. 3.040
2. Approve the creation of Proposed Board Policy No. 3.041
3. Approve the County General Records Retention Schedule
4. Approve the Departmental Record Retention Schedules
5. Approve the Resolution authorizing County departments to implement the record retention and disposition schedules.

ATTACHMENT II: RECORD RETENTION SCHEDULES

Each County department will be responsible for the maintenance, protection, and disposition of Official Public Records identified in the General Records Retention Schedule (GRRS) and their individual Departmental Records Retention Schedule (DRRS). The GRRS provides retention periods for Official Public Records most commonly found throughout County departments. A DRRS is issued by each of the individual County departments for Official Public Records exclusive to their departments.

These schedules provide minimum retention periods for maintaining Official Public Records. However, once an Official Public Record has met its minimum retention and fulfilled its administrative, fiscal, legal or programmatic function, the process of disposition should begin. Disposition refers to the final stage in the management of an Official Public Record resulting in destruction or archival preservation of the material. Departments are to review their Official Public Records periodically and dispose of their records in adherence to the applicable schedule provided that they are not subject to legal hold. This includes all Official Public Records maintained in County offices and third-party contractor storage areas, electronic systems, and storage devices.

ATTACHMENT III: THE BOARD RESOLUTION

To fully implement the record retention schedules, the attached resolution provides the necessary authority for County departments to utilize the schedules to retain and legally destroy County Official Public Records in compliance with federal, state, and local requirements. Additionally, the resolution authorizes County departments to "digitally" reproduce Official Records, using a trusted system, in order to retain them as originals.

These revisions to the existing Board Policy 3.040 were presented to the Board of Supervisors' Budget Deputies on April 14, 2016. Upon their recommendation and approval, the RR/CC presents these proposed changes for your review.
If you have any questions regarding the policy enhancements and/or the associated supporting documents, please contact Terrie L. Salazar at (562) 462-3040 or at tsalazar@rrcc.lacounty.gov.

DL:DM:TLS:es

Attachment(s)
c: Chief Executive Officer
County Counsel

Los Angeles County
BOARD OF SUPERVISORS POLICY MANUAL

Policy #:	Title:	Effective Date:
3.040	~~General Records Retention and Protection of Records Containing Personal and Confidential Information~~ Records Management and Archive of County Records	05/13/58

PURPOSE

~~Provides general guidelines to be followed by departments regarding the retention and destruction of records and specific procedures for the protection of records containing personal and confidential information.~~
Provide departments with general records management and archiving guidelines in the creation/receipt, use, retention, and disposition of official County records.

REFERENCE

May 13, 1958 Board Order, Synopsis 46

~~February 28, 2006 Board Order No. 23-A~~

~~May 2, 2006 Board Order No. 3~~

Government Code Sections 26201; 26202; 26205; 26205.1;and 12168.7

October 3, 2006 Board Order No. 16

~~Policy No. 6.100: Information Technology and Security~~

~~Policy No. 6.101: Use of County Information Technology and Security~~

~~Policy No. 6.106: Information Technology Physical Security~~

~~Policy No. 6.107: Information Technology Risk Assessment~~

~~May 8, 2007, Board Order No. 26~~

~~Policy No. 6.109: Security Incident Reporting~~

~~Policy No. 6.110: Protection of Information on Portable Computing Devices~~

~~Policy No. 6.111: Information Security Awareness Training~~

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Policy No. 6.112: Secure Disposition for Computing Devices

April 30, 2013; Board Order No. 71

Los Angeles County Code, Chapter 2.32 - Registrar-Recorder/County Clerk

POLICY

~~County departments are to comply with the following general guidelines on records retention and specific procedures pertaining to protection of records containing personal or confidential information pending 1) Board of Supervisors' approval of the General Retention Schedules for common administrative records, which will be applicable to all County departments; and (2) Board of Supervisors' approval of the Retention Schedule specific to the records maintained by a particular department. Thereafter, each department must follow the General Retention Schedules; its specific Retention Schedule; and any policies and procedures approved by the Board of Supervisors regarding records management practices.~~

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~~Records Retention – Generally~~

~~County departments shall retain records that are useful and/or are required by law (including State or Federal law) to be filed and/or preserved. However, County departments may destroy any record, paper or document that:~~

~~1. Is more than two years old unless it is required to be held longer pursuant to State or Federal law, County Charter or Ordinance, or Department policy;~~

~~2. Is of no further use to the department; and~~

~~3. Is not expressly required by any law (including State or Federal law) to be filed and/or preserved.~~

~~Protection of Records Containing Personal or Confidential Information~~

~~County departments shall secure and appropriately dispose of all records, papers or documents with personal or confidential information.~~

~~Confidential information is information that is sensitive, proprietary or personal to which access must be restricted and whose unauthorized disclosure could be harmful to a person, process or to an organization.~~

~~Personal information is any information maintained by a department that identifies or describes an individual including, but not limited to, his or her name, social security number, physical description, home address, telephone number, education, financial matters, and medical or employment history.~~

~~Paper documents that contain personal or confidential information such as social security numbers, health-related information, or financial information must be properly stored and secured from view by unauthorized persons.~~

~~Secure measures must also be employed by all departments to safeguard personal or confidential data contained on all County information technology resources.~~

~~Departments must ensure that only authorized personnel may hold and have access to such information.~~

~~*(See also Board of Supervisors Policies 6.100 Information Technology and Security, 6.101 Use of County Information Technology Resources, 6.106 Information Technology Physical Security, 6.107 Information Technology Risk Assessment, and 6.110 Protection of Information on Portable Computing Devices.)*~~

~~Destruction of Records Containing Personal or Confidential Information~~:

~~When records containing personal or confidential information are ready for destruction, departments shall destroy the information completely to ensure that the information cannot be recognized or reconstructed. In addition, any personal or confidential data contained on computer media must be obliterated and/or made indecipherable before disposing of the tape, diskette, CD-ROM, zip disk, or other type of medium.~~

~~Each department must provide appropriate methods and equipment to routinely destroy personal or confidential information. The safeguards listed are in priority order with the most highly recommended safeguard listed first. At the minimum, one of the following safeguards must be implemented:~~

~~• Conduct due diligence and hire a document destruction contractor to dispose of material either offsite or onsite.~~

~~○ Require that the disposal company be certified by a recognized trade association.~~

~~○ Require and validate that the disposal company disk sanitizing software and/or equipment is approved by the United States Department of Defense.~~

~~○ Review and evaluate the disposal company's information security policies and procedures.~~

~~○ Review an independent audit of a disposal company's operations and/or its compliance with operations.~~

~~• Secure and utilize shredding equipment that performs cross-cut or confetti patterns.~~

~~• Secure and utilize disk sanitizing (i.e., erasing) software program approved by the United States Department of Defense.~~

~~• Secure and utilize disk erasing equipment (e.g., degausser) approved by the Department of Defense or the National Security Agency.~~

~~• Modify the information to make it unreadable, unusable or indecipherable through any means.~~

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~~(See also Board of Supervisors Policy 6.112 Secure Disposition of Computing Devices.)~~

~~Confidential Information Incident Reporting~~

~~Each department must disclose to the department's management including the Departmental Information Security Officer any actual or suspected incident in which confidential information is disclosed to, or obtained by, an unauthorized person. Notification of the security incident must be made in the most prompt and expedient manner after the incident has been discovered. In addition, any such incident must be reported to the Fraud Hotline at 800.544.6861 or the Auditor-Controller's Office of County Investigations website at www.lacountyfraud.org where protocols are in place to respond to the incident.~~

~~Within ten days, a letter notifying affected individuals of actual or suspected loss or disclosure of personal or confidential information must be sent by the impacted County department describing the types of information lost and recommended actions to be taken to mitigate the potential misuse of their information.~~

~~The Chief Information Security Officer must also be promptly informed of the security breach associated with electronic data in order to communicate with other County departments and identify appropriate measures and safeguards.~~

~~*(See also Board of Supervisors Policy 6.109 Security Incident Reporting, and 6.111 Information Security Awareness Training.)*~~

County Records Management and Archives Program

The Registrar-Recorder/County Clerk's Records Management and Archives (RMA) is responsible for developing and administering records management and archiving protocols and guidelines. The RMA shall take steps to publish and disseminate record retention schedules and other records management protocols and guidelines to assist County departments in discharging their records management and archives responsibilities.

Definition of Official Public Record

An official public record is a thing, based on its content and regardless of its medium, which constitutes an objective lasting indication of a writing, event, or other information, which is in the custody of a County officer and is kept either (1) because a law requires it to be kept or (2) because it is necessary or convenient to the discharge of the County officer's duties and was made or retained for the purpose of preserving its informational content for future reference. (64 Ops.Cal.Atty.Gen 317.)

An official public record, as defined herein, relates to record retention and destruction purposes and differs from the definition of a public record under the California Public Records Act (Govt. Code § 6250 et seq.)in that the latter is construed broadly.

The definition of official public record may include all records maintained in County and applicable County contractor offices, storage areas, electronic systems, and electronic storage devices. These storage devices include networked servers, mainframes, data warehouses, storage area networks, electronic data interchanges, imaging and document

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management systems, personal computers, laptops, internal or external hard drives, magnetic tapes, optical disks, and any other system or device used to perform County business.

As a general rule, official public records are County property regardless of how or where they are stored, and they will remain the property of the County until their eventual disposition. Employees and third-party contractors shall not donate, sell, nor take sole physical control or possession of County records produced by the County. This includes records that have already met their retention period and are set for disposition. However, certain exceptions may exist. Thus, when any questions arise relating to this subject matter, County Counsel should be consulted.

The following examples are not considered to be official public records (i.e. non-records):

1) Duplicates of an official record made solely for convenience or reference
2) Working papers, notes and drafts
3) Transitory and informal communications used to develop an official record, unless they are specifically required to be retained by the RMA, law or regulation
4) Stocks of publications and blank forms
5) Material intended solely for reference or exhibition
6) Material with no requirement for retention under the RMA

Non-records have no retention period and thus may be disposed of at any time unless they are responsive to a Litigation Hold or a Public Records Request.

Record Retention and Disposition

The Board of Supervisors has authorized the RMA to develop and administer a comprehensive records management program. As part of this program, record retention schedules and disposition guidelines have been established. Record retention schedules must be initially approved by the Board of Supervisors and may be modified periodically thereafter upon approval by the RMA pursuant to County Code Section 2.32.370(B).

Record Retention

There are two types of records retention schedules— (1) General Records Retention Schedule and (2) Departmental Records Retention Schedule. Both schedules provide minimum retention periods for maintaining official County records. Once an official public record has met its minimum retention period, the process of disposition should begin.

(1) *General Records Retention Schedule (GRRS)*
The GRRS provides retention periods for official public records most commonly found throughout County departments. The GRRS does not cover program specific records produced by departments. The GRRS may be modified periodically by the RMA in conjunction with the affected departments, if necessary. Any subsequent modification to the GRRS must be approved by the RMA.

(2) *Departmental Records Retention Schedule (DRRS)*
A DRRS is issued by each individual County department and sets forth retention periods for official public records exclusive to each department. Any modification to a DRRS must be approved by the Department Head, County Counsel, and the RMA before the revised schedule goes into effect.

Records Not Included in a Retention Schedule

If a department identifies a document that may qualify as an official public record but is not found in the GRRS or a DRRS, it should consult with the RMA to determine whether that document type should be incorporated into the appropriate records retention schedule.

Record Disposition

Disposition refers to the final stage in the management of a record, where an official public record has met its retention period and may be destroyed.

Prior to the destruction of an official public record, the following criteria shall be considered:

- Is the record subject to a Litigation Hold or a Public Records Request?
- Does the record have a specific administrative or fiscal function?
- Does the record have a specific historical/archival value?

Departments are to review their official public records periodically, including those stored with County contractors, and dispose of them in adherence to the applicable schedules provided that the record is not subject to any of the considerations stated above.

Litigation Hold and Public Records Request

Departments must not destroy any official public record where a litigation hold is issued by County Counsel or the record is the subject of a Public Records Request. All inquiries regarding legal hold policies/procedures as well as Public Records Request responses should be directed to County Counsel.

Administrative and Fiscal, Value

A department may retain an official public record past its minimum retention period for operational purposes where it can demonstrate the record meets an extraordinary administrative or fiscal need.

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Historical/Archival Value

Official public records with archival value are to be preserved because they contain information of continuing and enduring value to the County, provide valuable research data, or document the history and development of the County and its departments. Archival records may be in any format and media, including paper, electronic, photographs, motion pictures film, videos, and sound recordings.

Departments should appraise their official public records periodically, prior to destruction, to determine if the records possess any archival value that warrants permanent retention. Archival record guidelines shall be provided by the RMA.

Retention of Vital Records

Departments will assist the RMA in identifying Vital Records. A Vital Record is essential for the ongoing operation of county business.

Vital Records are those records that contain information critical to the operation of the County and require immediate recovery and access during or immediately following a natural disaster or other event disrupting normal operations. Such records include those that contain information protecting the County's legal/financial interests and status.

Departments should identify records specifically designated as Vital Records and include them as part of each department's disaster recovery and business continuity planning. Necessary steps should be taken to protect and safeguard those records to ensure availability.

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Contracted Services that Store Official County Records and Non-Records

The County retention schedules apply to all records, regardless of medium, data and/or information that may be stored on purchased, leased, or rented electronic storage equipment and devices that are geographically located within the County, or external to the County's boundaries.

Departments will include prescriptive language in dealings/agreements with contractor(s) that maintain, process, and/or store records of the County to ensure that the data and information is appropriately destroyed in accordance with the County's record retention schedules and guidelines.

Contractor(s) must dispose of non-records as instructed by each individual department.

Policy Exceptions

There are no exceptions to this policy.

RESPONSIBLE DEPARTMENTS

Registrar-Recorder/County Clerk

~~Chief Executive Office~~

DATE ISSUED/SUNSET DATE

Issue Date: May 13, 1958
Review Date: July 22, 2004
Review Date: October 3, 2006
Review Date: July 23, 2010
Review Date: October 15. 2014

Sunset Review Date: May 13, 2003
Sunset Review Date: May 13, 2006
Sunset Review Date: October 3, 2010
Sunset Review Date: October 3, 2014
Sunset Review Date: October 3. 2018

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Los Angeles County
BOARD OF SUPERVISORS POLICY MANUAL

Policy #:	Title:	Effective Date:
3.041	Protection of Records Containing Personal and Confidential Information	10/03/14

PURPOSE

Provides general guidelines to be followed by departments regarding the protection of records containing personal and confidential information.

REFERENCE

May 13, 1958 Board Order, Synopsis 46

February 28, 2006 Board Order No. 23-A

May 2, 2006 Board Order No. 3

Government Code Section 26202

October 3, 2006 Board Order No. 16

Policy No. 6.100: Information Technology and Security

Policy No. 6.101: Use of County Information Technology and Security

Policy No. 6.106: Information Technology Physical Security

Policy No. 6.107: Information Technology Risk Assessment

May 8, 2007, Board Order No. 26

Policy No. 6.109: Security Incident Reporting

Policy No. 6.110: Protection of Information on Portable Computing Devises

Policy No. 6.111: Information Security Awareness Training

Policy No. 6.112: Secure Disposition for Computing Devices

POLICY

County departments are to comply with the following general guidelines pertaining to protection of records containing personal or confidential information.

Protection of Records Containing Personal or Confidential Information

County departments shall secure and appropriately dispose of all records, papers or documents with personal or confidential information.

Confidential information is information that is sensitive, proprietary or personal to which access must be restricted and whose unauthorized disclosure could be harmful to a person, process or to an organization.

Personal information is any information maintained by a department that identifies or describes an individual including, but not limited to, his or her name, social security number, physical description, home address, telephone number, education, financial matters, and medical or employment history.

Paper documents that contain personal or confidential information such as social security numbers, health-related information, or financial information must be properly stored and secured from view by unauthorized persons.

Secure measures must also be employed by all departments to safeguard personal or confidential data contained on all County information technology resources.

Departments must ensure that only authorized personnel may hold and have access to such information.

(See also Board of Supervisors Policies 6.100 Information Technology and Security, 6.101 Use of County Information Technology Resources, 6.106 Information Technology Physical Security, 6.107 Information Technology Risk Assessment, and 6.110 Protection of Information on Portable Computing Devices.)

Destruction of Records Containing Personal or Confidential Information:

When records containing personal or confidential information are ready for destruction, departments shall destroy the information completely to ensure that the information cannot be recognized or reconstructed. In addition, any personal or confidential data contained on computer media must be obliterated and/or made indecipherable before disposing of the tape, diskette, CD-ROM, zip disk, or other type of medium.

Each department must provide appropriate methods and equipment to routinely destroy personal or confidential information. The safeguards listed are in priority order with the most highly recommended safeguard listed first. At the minimum, one of the following safeguards must be implemented:

- Conduct due diligence and hire a document destruction contractor to dispose of material either offsite or onsite.
    - Require that the disposal company be certified by a recognized trade association.
    - Require and validate that the disposal company disk sanitizing software and/or

equipment is approved by the United States Department of Defense.

  - Review and evaluate the disposal company's information security policies and procedures.

  - Review an independent audit of a disposal company's operations and/or its compliance with operations.

- Secure and utilize shredding equipment that performs cross-cut or confetti patterns.

- Secure and utilize disk sanitizing (i.e., erasing) software program approved by the United States Department of Defense.

- Secure and utilize disk erasing equipment (e.g., degausser) approved by the Department of Defense or the National Security Agency.

- Modify the information to make it unreadable, unusable or indecipherable through any means.

(See also Board of Supervisors Policy 6.112 Secure Disposition of Computing Devices.)

Confidential Information Incident Reporting

Each department must disclose to the department's management including the Departmental Information Security Officer any actual or suspected incident in which confidential information is disclosed to, or obtained by, an unauthorized person. Notification of the security incident must be made in the most prompt and expedient manner after the incident has been discovered. In addition, any such incident must be reported to the Fraud Hotline at 800.544.6861 or the Auditor-Controller's Office of County Investigations website at www.lacountyfraud.org where protocols are in place to respond to the incident.

Within ten days, a letter notifying affected individuals of actual or suspected loss or disclosure of personal or confidential information must be sent by the impacted County department describing the types of information lost and recommended actions to be taken to mitigate the potential misuse of their information.

The Chief Information Security Officer must also be promptly informed of the security breach associated with electronic data in order to communicate with other County departments and identify appropriate measures and safeguards.

At each sunset review of this policy, the Chief Information Security Officer shall submit a report detailing all County security breaches associated with the unauthorized release or theft of confidential information.

(See also Board of Supervisors Policy 6.109 Security Incident Reporting, and 6.111 Information Security Awareness Training.)

Policy Exceptions

There are no exceptions to this policy.

RESPONSIBLE DEPARTMENT

Chief Executive Office

DATE ISSUED/SUNSET DATE

Issue Date: **Sunset Review Date: October 3, 2018**

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<u>ATTACHMENT I</u>

LETTER TO THE BOARD

Note: The proposed draft attachment is non-operative and has not been approved by the Board of Supervisors

DEAN C. LOGAN
Registrar-Recorder/County Clerk

June 7, 2016

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

RECOMMENDATION TO APPROVE REVISED BOARD POLICY NO. 3.040, REGARDING COUNTY RECORDS MANAGEMENT AND ARCHIVE AND CREATE NEW BOARD POLICY NO. 3.041 REGARDING THE PROTECTION OF RECORDS CONTAINING PERSONAL AND CONFIDENTIAL INFORMATION (ALL SUPERVISORIAL DISTRICTS) (4 VOTES)

SUBJECT

The Los Angeles County Registrar-Recorder/County Clerk ("RR/CC") seeks approval of revised Board Policy No. 3.040 which involves the approval of the County General Records Retention Schedule and 36 Departmental Records Retention Schedules. Such approval will establish minimum retention periods for Official County records. Upon approval, these schedules will serve as the record retention schedules for each County department/agency and will supersede any other retention schedule currently in use.

IT IS RECOMMENDED THAT YOUR BOARD:

1. Approve revised Board Policy No. 3.040 (Attachment I) General Records Retention and Protection of Records Containing Personal and Confidential Information by changing title to "Records Management and Archive of County Records" in order to support application of the record retention schedules.

2. Approve new Board Policy No. 3.041 (Attachment II) Protection of Records Containing

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3. Approve the County General Records Retention Schedule ("GRRS") (Attachment III).

4. Approve the Departmental Records Retention Schedules ("DRRS") (Attachment IV) for the following departments/agencies: Agricultural Commissioner/Weights and Measures; Alternate Public Defender; Animal Care and Control; Arts Commission; Assessor; Auditor-Controller; Beaches and Harbors; Chief Executive Office; Child Support Services; Children and Family Services; Community and Senior Services; Consumer Affairs; Medical Examiner-Coroner; County Counsel; District Attorney; Executive Office of Board of Supervisors; Fire; Health Services; Human Resources; Internal Services; Mental Health; Military and Veteran Affairs; Museum of Art; Museum of Natural History; Parks and Recreation; Probation; Public Defender; Public Health; Public Library; Public Social Services; Public Works; Regional Planning; Registrar-Recorder/County Clerk; Sheriff; and Treasurer and Tax Collector (Attachment IV).

5. Approve Resolution (Attachment V) authorizing County departments to use the County record retention schedules and to destroy old, duplicate or reproduced Official Public Records.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION:

On October 3, 2006, your Board approved revised Policy No. 3.040 General Record Retention and Protection of Records Containing Personal and Confidential Information to establish guidelines for retaining Official Public Records, describe personal and confidential information and steps to protect such data, and mandate safeguards for the destruction of confidential records. These record retention guidelines were intended to remain in place until your Board approved the general retention schedules for common administrative Official Public Records applicable to all County departments, as well as retention schedules specific to the Official Public Records maintained by individual departments.

In April of 2013, Section 2.32.370 of the County Code was amended to direct the RR/CC to develop and administer a comprehensive county-wide records management program. As part of this directive, the RR/CC has consulted with County departments to develop a general as well as department specific record retention and disposition schedules for your Board's approval. Revised Board Policy No. 3.040, Records Management and Archive of County Records, sets forth these new record retention guidelines and how the retention schedules are to be used.

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Record Retention Schedules

The GRRS relates to the retention and destruction of Official Public Records that are commonly produced county-wide. In order to produce a comprehensive general schedule, the RR/CC engaged all 36 County departments for their perspective and expertise. Through a focused and deliberative process, the RR/CC considered the feedback of all departments in authoring a schedule that provides an operationally appropriate retention period for County Official Public Record which is consistent with law.

The RR/CC has also coordinated the review and update of all Departmental Records Retention Schedules (DRRS). These schedules are meant to provide the authority for retention and disposition of Official Public Records unique to each department. Each schedule has been reviewed and approved by the respective Department Head..

These retention schedules are applicable to all Official Public Records regardless of the medium in which they are created or stored. Any future amendments to these schedules must be approved by the RR/CC under the authority provided for in Title 2, Administration, Section 2.32.370 of the County Code.

Recommended Revisions to County Policy 3.040

To support the application of these retention schedules, the RR/CC recommends revisions to County Policy 3.040. Additional materials are currently in development to further support and educate County departments in efficient records management and archiving practices.

All proposed changes are the culmination of a multi-departmental collaboration with the purpose of enhancing the overall effectiveness of Board Policy No. 3.040 through the formalized adoption of the County's first record retention schedules. Additionally, in concurrence with the County's Chief Information Security Officer, discussions have focused on providing more detailed content and guidance for the effective management of County Official Public Records and archival material. Also, these discussions have focused on the bifurcation of content within the existing policy to separate topics related to the management of County records management and archive from the topics related to the protection of personal and confidential information. Therefore, this bifurcation has resulted in the recommended creation of Board Policy No. 3.041 Protection of Records Containing Personal and Confidential Information.

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Implementation of Strategic Plan Goals

This request supports the County Strategic Plan Goal No. 1: Operational Effectiveness/Fiscal Sustainability, "Maximize the effectiveness of processes, structure, operations and strong fiscal management to support timely delivery of customer-oriented and efficient public services."

Upon approval of these schedules and policy revisions, departments will be required to follow a universal standard in the discharge of their records management and archives responsibilities, including the retention and disposition of Official Public Records.

FISCAL IMPACT/FINANCING:

Financial relief to the County is expected as routine disposal of redundant, obsolete Official Public Records and non-records (transitory communications) will reduce the County's physical and digital storage demands required under inconsistent and/or non-existent disposition practices in the digital age. Furthermore, enhanced/streamlined management of electronic transitory communications will also reduce the costs associated with unnecessary or excessive digital storage and maintenance.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS:

Pursuant to Government Code section 26202, the Board of Supervisors may, by four-fifths vote, authorize the destruction of County Official Public Records, regardless of medium, where those Official Public Records have been maintained for the minimum period of time and prepared/received pursuant to State statute or County Charter. Upon your Board's approval of the attached resolution, the record retention schedules will serve as guidelines for departments to retain their respective Official Public Records and destroy them at the appropriate time. Additionally, approval of the resolution will also authorize departments, where appropriate and permissible, to reproduce (e.g., digitize) their Official Public Records, for County or public use, with any medium that is a trusted system which accurately reproduces the original; does not permit additions, deletions, or changes to the original, and complies with Government Code section 12168.7. Properly reproduced Official Public Records may be destroyed after a trustworthy digital surrogate is created and maintained per the County's record retention schedules.

In October 2014, an Official Public Records and Trusted Systems committee comprised of key departments was formed by the RR/CC to advocate/publish trusted system standards and establish a compliance process to certify trusted systems throughout the County.

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These standards will guide individual departments who desire to reproduce their Official Public Records through a trusted system that complies with Government Code section 12168.7. Upon the Board's approval of the referenced drafted policies, this committee will continue to provide oversight of the Program and supporting the departments' efforts.

IMPACT ON CURRENT SERVICES:

As County departments improve the organization of Official Public Records, several enhancements to County efficiency and service will result, specifically in the records management areas of security, preservation, and customer service.

CONCLUSION:

Approve revised Board Policy No. 3.040 (Attachment I) General Records Retention Approval of Attachment I - Revised Board Policy No. 3.040, Attachment II - new Board Policy No. 3.041, Attachment III - General Records Retention Schedule, Attachment IV - 36 Departmental Records Retention Schedules, and Attachment V - Resolution (Attachment V) authorizing County departments to use the County record retention schedules and to destroy old, duplicate or reproduced Official Public Records, will support the County's responsibility in the creation/receipt, use, retention, and disposition of Official County records in an efficient, cost-effective and legally compliant manner.

Respectfully submitted,

_____

Dean C. Logan
Registrar-Recorder/County Clerk

DCL:DM:TLS:es

Attachments

c: Chief Executive Office
County Counsel

DRAFT

<u>ATTACHMENT II</u>

RECORDS RETENTION SCHEDULES

Note: The proposed draft attachment is non-operative and has not been approved by the Board of Supervisors

2014

GENERAL Records Retention Schedule

Los Angeles County

Records Management & Archives
General Records Retention Schedule (GRRS) - Countywide

A retention schedule is the cornerstone of an effective records management program.

Arguably, the retention schedule is the most referenced document in a program's arsenal. Its purpose is to provide employees with direction as to how long their official records must be retained in accordance with laws, regulations, and business need.

The Los Angeles County GRRS has been developed into a function-based series. This type of organization does not list records individually, but rather groups multiple records together by function. This allows for the consolidation of similar record types that are assigned the same retention period. The function-based approach effectively reduces the overall number of records listed on the schedule and makes it easier for employees to use.

Item Series	Record Series	Pages
G.01.000.....	ADMINISTRATIVE FUNCTIONS.....	1-7
G.02.000.....	EQUIPMENT/SUPPLIES/FACILITIES.....	8-11
G.03.000.....	HUMAN RESOURCES.....	12-14
G.04.000.....	INFORMATION TECHNOLOGY.....	15-17
G.05.000.....	FISCAL MANAGEMENT.....	18-24
G.06.000.....	MARKETING SERVICES/PUBLIC INFORMATION.....	25
G.07.000.....	LEGAL/LEGISLATIVE FUNCTIONS.....	26-28

RECORDS MANAGEMENT & ARCHIVES
GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE
ADMINISTRATIVE FUNCTIONS

G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.010	Administrative Records: Routine, Transmittal & Program	Routine correspondence issued from or received by a department that requires no further action - created primarily for the perpetuation of knowledge (final/official version only). Includes, but is not limited to • Memos & Publications • Program Overviews/Plans/Development • Acknowledgements/Awards • Project Files & Logs • Surveys & Suggestion Forms • Studies & Finalized Data Sets • Finalized Reports & Attachments • Individual/Departmental Association Membership Information • Invitations • Meetings/Symposiums - Minutes/Agendas/Media (paper & e-files) • Hours of Operation & Staff Lists Records used to control workflow and to record routine actions. Includes, but is not limited to • Job control records & work processing sheets • Departmental outreach & training materials • Completed internal forms	2 years	GC 26202
G.01.020	Administrative Studies & Special Projects	Final reports and supporting data regarding major departmental studies and special management projects ordered by the Board or at the direction of a department head. Includes, but is not limited to • Agendas, minutes & member lists • Reports & correspondence • Records of key events and programs impacting County operations & services	P except Audio/Visual: 10 years; Supporting Docs: review every 5 years	GC 26202

GRRS Abbreviations & Citation Sources

Note: A retention period generally begins on January 1 of the year following the creation of a record. All retention periods assume calendar years unless indicated otherwise. For example, a record created in June 2005 that has a three-year retention period may be disposed after January 1, 2009 (Three years after January 1, 2006).

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G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.030	Annual Reports	Annual program, narrative and statistical reports issued by the Board of Supervisors or department heads that contain substantial evidence of government policy, procedures, plans, activities, accomplishments and directions for the previous year. May also include biennial reports. *Supporting documentation may include graphs and diagrams	P	GC 26202
G.01.040	Cellular Telephone Inventory	Official inventory of cellular phones and mobile devices registered to approved county employees.	When superseded by new version. Note: disposition of old version must wait if the record has not met the County minimum of 2 years	CFM 4.7.0
G.01.050	Commission, Committee & Task Force Records	Records associated with permanent and temporary commissions, committees or task forces not directly administered by the Board of Supervisors. Includes, but is not limited to • Agendas, minutes, meeting notes, hearing records, transcripts • Policies & procedures, correspondence, constitute forms and requests for assistance • Reports, member lists, and related records	5 years unless outside authority, regulation or law requires longer retention	GC 26202
G.01.060	Complaints: Citizens, Consumers or Employees	Complaints regarding services received. Does not include claims of harassment or discrimination among employees or any other personnel matter.	2 years	GC 26202
G.01.070	Executive Files: Operational (Day-to-Day) and Succession Records	Records used to brief managers on a day-to-day basis or transfer governance of an office due to a change in appointed leadership. Includes, but is not limited to • Briefing books & supporting materials • Issue summaries • Organizational & functional documentation • Documents detailing logistical information • Records of the routine activities of a department head	5 years	GC 26202
G.01.080	Incoming Document Log	Logs (paper or electronic) that track incoming documents requiring distribution or action.	2 years	GC 26202

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G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.090	Mail: Undeliverable First Class	Consists of mail returned to sender as undeliverable due to insufficient postage or an incorrect address of the intended person or agency. *Does not include cases where proof of attempt to notify may be required	Undeliverable + 5 years	GC 26202
G.01.100	Office Social Activity Records	Includes final documents in support of County sponsored philanthropic organizations and causes.	2 years	GC 26202
G.01.110	Organization Charts	Organizational charts that show lines of authority and responsibility within a single department or countywide. Includes, but is not limited to • Records documenting changes in a department's organizational structure • Functional statements & formally prepared descriptions of the responsibilities assigned in the organization	P	GC 26202
G.01.120	Pending Files	Records arranged in chronological order as a reminder that an action is required on a given date or that a reply to an action is expected.	2 years	GC 26202
G.01.130	Policies, Procedures, Regulations (Departmental)	Final adoption of policies, procedures and regulations to govern the day-to-day implementation and management of departmental business functions and programs. Includes, but is not limited to • Official management statements of policy for the department • Operating procedures	Keep for 2 years after superseded by new version	GC 26202
G.01.140	Program or Project Files - County and State Special Relations	Coordination and communication between County and/or State agencies that fall outside of the department's boundaries, but whose functions overlap. Includes, but is not limited to • Memos, letters, reports & background materials • Project planning documentation & related correspondence	AA + 5 years; if no audit: 7 years	GC 26202
G.01.150	Program or Project Files: External Program Relations	Consists of the coordination between the department and outside institutions, associations, programs and individuals. Includes, but is not limited to • Background support documentation • Reports & joint proposals • Surveys, questionnaires & related correspondence	AA + 5 years; if no audit: 7 years	GC 26202

GRRS Abbreviations & Citation Sources

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G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.160	Program or Project Files: Inter-Departmental Relations	Consists of the coordination between the department and other government or regulatory agencies especially when approval, oversight or coordination of efforts is involved. Includes, but is not limited to • Background support materials • Reports & formal opinions • Proposals, projects, surveys, questionnaires & related correspondence	AA + 8 years; if no audit:10 years	GC 26202
G.01.170	Program or Project Files: Intra-Departmental Relations	Consists of the monitoring, oversight, review, coordination and communication between a department's units and offices. Includes, but is not limited to • Background materials • Memos, letters, reports & related correspondence	AA + 8 years; if no audit:10 years	GC 26202
G.01.180	Program or Project Files: Intra-Governmental Coordination	Consists of the interaction and coordination of State and County departmental activities where functional responsibilities overlap. Includes, but is not limited to • Letters of agreement, understanding or intent • Plans, proposals, special studies and related correspondence	AA + 8 years; if no audit:10 years	GC 26202
G.01.190	Program or Project Files: State and Federal	Consists of departmental relations with other State or Federal agencies or bodies that have regulatory oversight over departmental affairs and business. Includes, but is not limited to • Original approved project contracts & agreements • Awards • Line-item budgets, budget amendments & cash requests • Audit reports *Check with Code of Federal Regulations (CFR) for any additional requirements	AA + 5 years; if no audit: 7 years	GC 26202

GRRS Abbreviations & Citation Sources

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G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.200	Rideshare Program	Contains employee commute reduction program implementation files. Includes, but is not limited to • Annual Trip Reduction Plans • Incentive log sheets • Rideshare fair documentation • Commuter surveys • Carpool/vanpool applications • Rideshare announcements, bulletins & correspondence	3 years	South Coast Air Quality Mgmt District Rule 2202
G.01.210	Visitor Logs	Records documenting employee and visitor entrance into a department or County building during and/or after office hours.	2 years	GC 26202
RECORDS MANAGEMENT				
G.01.220	Records Inventory	Final lists of records found during the inventory process for the purpose of records retention.	When superseded by new version. Note: disposition of old version must wait if the record has not met the County minimum of 2 years	GC 26202
G.01.230	Records Retention Schedules	Records retention schedules that furnish public agencies with clear legal authority to make disposition of their records. Includes, but is not limited to • General Records Retention Schedules • Department Records Retention Schedules • Records management program documents	Keep for 2 years after superseded by new version	GC 26202
G.01.240	Records Transfer Forms	Forms used to transfer records to a records center/storage facility.	2 years	GC 26202
STRATEGIC PLANNING				

GRRS Abbreviations & Citation Sources

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G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.250	Strategic Plans	A department's current and past strategic plans.	P	GC 26202
RISK MANAGEMENT				
G.01.260	Accident/Incident Reports	Records related to the investigation of an injury or accident involving a County employee or a third party.	County: C + 10 3rd party: C + 5 years	29 CFR 1904.2 29 CFR 1904.6
G.01.270	Disability and Workers' Compensation Files	Records related to disability and worker's compensation.	T + 10 years	
G.01.280	Insurance Policies - Liability (personnel)	Records related to a contract of insurance purchased by the County describing the term, coverage, premiums and deductibles. *Includes the actual insurance policy	T + 30 years	29 CFR 1910.1020
G.01.290	Insurance Policies - Liability (property - real & personal)	Records related to a contract of insurance purchased by the County describing the term, coverage, premiums and deductibles. *Includes the actual insurance policy	10 years	CCP 337.15(a)
G.01.300	Insurance Policies - Non-Liability	Records related to a contract of insurance purchased by the County describing the term, coverage, premiums and deductibles. *Includes the actual insurance policy	C + 5 years	GC 26202
G.01.310	Occupational Safety and Health Administration files	Records related to the documentation of required OSHA forms for losses associated with employee injury or illness. Includes, but is not limited to • Form 300, Form 300a, Form 301 • Privacy Case Lists	5 years	8 CCR 14300.33
G.01.320	Return-to-Work Files	Includes short-term disability records.	T + 2 years	29 CFR 1602.31 29 CFR 1602.14 GC12946

GRRS Abbreviations & Citation Sources

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G.01.000	Function Area: ADMINISTRATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.01.330	Risk Management Working Files	Operational records related to County risk management (commercial & self-insurance) provided that they are not protected by attorney-client or work-product privilege. Includes, but is not limited to • Insurance reports • Loss Control Inspection Reports *Excludes the actual insurance policy	5 years	GC 26202

GRRS Abbreviations & Citation Sources

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RECORDS MANAGEMENT & ARCHIVES
GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE
EQUIPMENT/SUPPLIES/FACILITIES

G.02.000	Function Area: EQUIPMENT/SUPPLIES/FACILITIES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.02.010	ADA Transition Plans	Records related to documenting compliance with the Americans with Disabilities Act. Includes transition and self-evaluation plans.	5 years; If employee related: T + 2 years	29 CFR 1602.31
G.02.020	Building Assessments	Records used to describe existing building conditions. Includes, but is not limited to • As-built drawings & architectural surveys • Hazardous material • Structural & building assessments	Retain until sold	GC 26202
G.02.030	Capital Project Program Files	Plans for capital expenditures to be incurred each year over a fixed period of years. Documents for new structures (or additions of square footage to structures) that cost in excess of $100,000.	10 years (but must maintain current plans until superseded)	GC 24051 CCP 337.15(a)
G.02.040	Capital Projects - Refurbishments	Records of funds created to account for financial resources used for the acquisition or construction of major capital facilities (other than those financed by proprietary funds and trust funds). Records related to building renovations in excess of $100,000 (may include multiple items from one worksite if combined costs exceed 100k). Includes Board approvals, plans, needs assessments, budgets, and other related records.	C + 10 years	GC 24051 CCP 337.15(a)
G.02.050	Equipment Loss Reports	Consists of reports of equipment that is missing, stolen or destroyed.	5 years	CFM 6.9.0
G.02.060	Fixed Asset Equipment Inventories	Annual equipment inventory which includes moveable personal property of a relatively permanent nature or if the equipment is susceptible to theft.	5 years	CFM 6.1.3

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G.02.000	Function Area: EQUIPMENT/SUPPLIES/FACILITIES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.02.070	Fleet Vehicle Records	Records regarding vehicles used and maintained by a department including home-assigned vehicles and pool vehicles. Includes, but is not limited to • Usage, fuel and maintenance logs (including car wash)	Assigned vehicles: T + 2 years: Fleet: 5 years or until vehicle is sold/destroyed	GC 26202
G.02.080	Material Safety Data Sheets (MSDS)	MSDS issued by manufacturers.	30 years	29 CFR 1910.1020 (d)(1)(ii)(B)
G.02.090	Portable Equipment Items	Records that document portable items on the County's Inventory Listing with a unit cost of $5,000 or more and with a unit cost of less than $5,000.	5 years	CFM 6.8.0
G.02.100	Requisitions	Requests from County departments describing goods or services to be ordered by the purchasing department.	5 years	
G.02.110	Space Assignment Notices	Records used for planning purposes related to the utilization and amount of floor space in County buildings.	Retain until the building is sold	GC 26202
G.02.120	Supply and Equipment Inventories	Inventory that documents and controls departmental equipment & supplies including documentation of year-end physical inventories submitted by a department to the Auditor-Controller for inventory values in excess of $50,000.	5 years	CFM 5.2.0 GC 24051
G.02.130	Work Orders and Service Requests (including use of 3rd party vendor)	Records that consist of internal departmental requests for service and/or repair on County equipment and property.	Retained until property or equipment is replaced or destroyed	GC26202
EMERGENCY MANAGEMENT				
G.02.140	Emergency Preparation	Records relating to emergency planning and training for disasters. Includes, but is not limited to • Studies & evaluations undertaken by the County • Disaster recovery plans and testing • Emergency contact information • Evacuation plans	Keep for 2 years after superseded by new version	GC 26202

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G.02.000	Function Area: EQUIPMENT/SUPPLIES/FACILITIES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.02.150	Emergency Response Files	Information on the response of agencies to a disaster or major emergency. Includes, but is not limited to • Photographs & press clippings • Property damage assessment reports • Emergency operations center records • Personal injury reports	AA + 5 years; if no audit: 7 years	GC 26202
G.02.160	Facility Inspection Records	Records regarding the inspection of interior and exterior of County facilities. Includes, but is not limited to • Quarterly exterior inspections • Periodic safety inspections • Environmental survey reports • Asbestos & Lead abatement records	3 years	8 CCR 3203(b) 17 CCR 36000
G.02.170	FEMA Correspondence	Correspondence with Federal Emergency Management Agency concerning payment or settlement related to a disaster or major emergency.	AA + 5 years; if no audit: 7 years	GC 26202
G.02.180	Hazardous Waste and Materials Exposure	Records related to the management, transport of, employee and non-employee exposure to hazardous waste, toxic substances, or harmful physical agents. Includes, but is not limited to • Uniform Hazardous Waste Manifests • Waste determination records • Land Disposal Restrictions records • Generator's biennial reports • EPA ID verifications • Incident reports & damage reports • Permits • Allegations of employee exposure • Employee medical records	T + 30 years if involving employee; Incident records retained until closure of facility; all other records 3 years	22 CCR 66262 22 CCR 66268.7 22 CCR 66265.56 29 CFR 1910.1020
G.02.190	HVAC Records	Records related to HVAC inspection & maintenance.	5 years	8 CCR 5142

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G.02.000	Function Area: EQUIPMENT/SUPPLIES/FACILITIES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.02.200	Liability Risk Management Case Files	Records related to reporting, investigation and settlement of liability claims filed against the County.	C + 5 years	
G.02.210	Recovery Reimbursement Files	Records related to efforts towards financial recovery from a disaster or major emergency.	AA + 5 years; if no audit: 7 years	GC 26202
G.02.220	Underground Storage Tanks (UST)	Records related to the monitoring and maintenance of USTs. Includes, but is not limited to • Monitoring equipment calibration and maintenance • Visual observation logs • Sample analysis • Release detection systems • Cathodic Protection Maintenance • Repair & Upgrade records	3 years; Release Detection Systems 5 years; Cathodic Protection 6.5 years; Repairs & Upgrades life of the UST	23 CCR 2712

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GRRS Abbreviations & Citation Sources

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RECORDS MANAGEMENT & ARCHIVES
GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE
HUMAN RESOURCES

G.03.000	Functional Area: HUMAN RESOURCES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.03.010	Attendance & Time Keeping Records	Records that verify the time worked by each employee for purposes of issuing paychecks. Includes, but is not limited to • Vacation, sick, and leave approvals & reports • Overtime requests & monitoring reports • Time card error reports • Leave Benefit Negative Balance Reports • Time Card Leave Defaulting Reports	5 years	29 CFR 1602.30 29 CFR 1602.32 29 CFR 516.6
G.03.020	Employee Training	Records maintained to confirm participation and successful completion of job related training programs. Includes, but is not limited to • Documentation of employee continuing education • Training, development and other related documents	T + 2 years	29 CFR 1602.31 29 CFR 1602.14 GC12946
G.03.030	Federal I-9 Employment Eligibility Verification	Forms used for verifying the identity and employment authorization of individuals hired for employment in the United States	3 years or T + 1 year - whichever is later	8 CFR 274a.2 (b)(2)(i)(A)

GRRS Abbreviations & Citation Sources

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G.03.000	Functional Area: HUMAN RESOURCES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.03.040	Payroll/ Warrant Records	Records related to meeting obligations to pay County employee salaries and related warrants. Includes, but is not limited to • Salary Changes (includes Y-rates and bonuses) • Withholding taxes & deductions records • Regular & supplemental payroll warrants • Trust warrants (garnishments) • Cancelled, voided & unclaimed warrants • Payment for a returned direct deposit • Notices of direct deposit & direct deposit reversals • Over payments	T + 10 years	CFM 3.1.10 29 CFR 1620.33(b) 29 CFR 1602.31 29 CFR 1627.3
G.03.050	Personnel Records	Records related to employment of County personnel. Includes, but is not limited to • Employee Information Sheets • Proof of qualifications for position held • Bonus pay authorizations • Performance evaluations • Annual form for reporting outside employment • Reinstatement documents • Discipline letters/memos • Industrial Injury Designation of Personal Physician forms • Signed County policy forms - drug free, sexual harassment, child support compliance, probation letter, medical results card, alien registration card, etc.. • Transfers, demotions, promotions and terminations	T + 5 years	29 CFR 1602.31 29 CFR 1620.33(b)
G.03.060	Recruitment Records	Records related to Civil Service examinations. Includes, but is not limited to • Reports of examination showing method of testing, weight of various parts, score transformation formula, names of candidates, test scores; records of oral exam or interviews, eligibility lists, job bulletins • Resumes, applications, and any other scored components	5 years; Resumes, applications & other scored components: 2 years	CSR 7 DHR PPG 180 29 CFR 1627.3(b)

GRRS Abbreviations & Citation Sources

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G.03.000	Functional Area: HUMAN RESOURCES			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.03.070	Statement of Economic Interests (Form 700)	Records prepared by designated officials and County employees stipulating as to their economic holdings. Includes, but is not limited to • Applicable schedules reporting economic interests as required by the California Political Reform Act	7 Years	GC 81009(e)

GRRS Abbreviations & Citation Sources

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RECORDS MANAGEMENT & ARCHIVES
GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE
INFORMATION TECHNOLOGY

G.04.000	Functional Area: INFORMATION TECHNOLOGY			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.04.010	Change Control Documentation	Completed forms associated with a system's change control process. Includes policies for all program maintenance and enhancements to systems as well as testing standards.	5 Years	CFM 8.7.5
G.04.020	Data Element Catalog and Data Dictionary	Descriptions of each data field.	Keep for 2 years after superseded by new version	CFM 8.7.4
G.04.030	Disaster Recovery/Continuity Plan	Records detailing a departmental recovery plan in the case of an earthquake, vandalism, fire or sabotage.	Keep for 2 years after superseded by new version	CFM 8.2.6
G.04.040	Program Documentation	Documentation regarding a program. Includes, but is not limited to • Overview of the program's purpose and how it operates • Index of the program's inputs/outputs and record layouts • Modifications to the program	Keep for 2 years after superseded by new version	CFM 8.7.3
G.04.050	Strategic Systems Plans	Plans which forecast needs for the next five years, addressing the coordination of data requirements with other systems.	When superseded by new version. Note: disposition of old version must wait if the record has not met the County minimum of 2 years	CFM 8.2.5
G.04.060	Supervisory Control Instructions	Instructions detailing supervisory controls to ensure compliance with standards and procedures. Records of actions taken when noncompliance or other transgressions are discovered.	Keep for 2 years after superseded by new version	CFM 8.8.0

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G.04.000	Functional Area: INFORMATION TECHNOLOGY			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.04.070	System Development Files	Records that document the steps undertaken to create, modify or maintain an organization's information systems. Includes, but is not limited to • Entity models • Cost analysis documentation • Program source code	When superseded by new version. Note: disposition of old version must wait if the record has not met the County minimum of 2 years	CFM 8.2.5 CFM 8.7.7
G.04.080	System Documentation	Records regarding a system. Includes, but is not limited to • Overview of the system that explains its purpose • System training & tutorials • Subsystems & functions • Systems flowcharts & diagrams that illustrate system interfaces • Descriptions of hardware, software and total number of terminals, microprocessors & printers connected to the system • System and IT security tutorials	When superseded by new version. Note: disposition of old version must wait if the record has not met the County minimum of 2 years	CFM 8.7.0
G.04.090	System Equipment Inventory	Consists of documents maintained by management that list all computer terminals, microprocessors and their locations.	5 years	CFM 8.7.2
G.04.100	System Logs	Consists of logs of activity on systems, email servers and internet servers to anticipate and prevent problems, particularly illegal activities.	2 years	GC 26202
G.04.110	System Maintenance Logs and Testing	Consists of a log documenting regularly scheduled maintenance for the purpose of detecting and preventing system problems. Documentation related to tests performed and the results of those tests.	5 years	CFM 8.2.9
G.04.120	System Security and Access Control	Records that document personnel access authorizations and passwords. Includes, but is not limited to • Personnel security acknowledgement forms • Badges, locks & security protections • Fire protections • Off-premises storage of back-up data • Back-up processing facility	5 years	CFM 8.2.4

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G.04.000	Functional Area: INFORMATION TECHNOLOGY			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.04.130	User Documentation	Records related to users. Includes, but is not limited to • Training & procedure manuals • Terminal operator instructions • Input/Output samples	5 years	CFM 8.7.6

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GRRS Abbreviations & Citation Sources

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RECORDS MANAGEMENT & ARCHIVES
GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE
FISCAL MANAGEMENT

G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.010	Accounts Payable and Expenditure Transactions	Consists of supporting documentation for goods and services purchased by the County. Includes vendor invoices and documentation associated with year-end accounts payable. *Does not include documentation associated with amounts due to other funds of the County (see G.05.200, Internal Voucher)	AA + 5 years; if no audit: 7 years	GC 26907
G.05.020	Accounts Receivable & Revenue Transactions	Consists of supporting documentation for revenues and other amounts owed to the County. Includes, but is not limited to • Documentation for amounts billed by the County for services rendered • Year-end accrual of accounts receivable • Invoices & reports • Permits, project setup documentation, RE documents & IT documents *Does not include documentation associated with amounts due from other funds of the County (see G.05.200, Internal Voucher)	AA + 5 years; if no audit: 7 years	GC 26907.1 GC 26907.2
G.05.030	Bank Account Records	Consists of records related to collection accounts and checking accounts. Includes, but is not limited to • Bank statements • Negotiated, cancelled or returned checks & warrants • Non-sufficient funds • Monthly reconciliations & tracers	AA + 5 years; if no audit: 7 years	CFM 1.2.0 CFM 1.2.3
G.05.040	Budget Adjustment	Consists of documentation that increases available appropriation or adjusts appropriation levels within a departmental budget.	AA + 5 years; if no audit: 7 years	GC 26202
G.05.050	Budget, Final Changes	Records related to the addition/deletion of funding requirements that were not included in the Recommended Budget.	C + 5 years	
G.05.060	Budget Forecasts	Records documenting anticipated expenditures and revenues for forthcoming fiscal years.	C + 10 years (FYE)	GC 26202

GRRS Abbreviations & Citation Sources

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G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.070	Budget Status Report (BSR)	Consists of budget-to-actual comparisons and budget-to-estimated expenditures and revenue in connection with financial reporting for the general fund and individual major special revenue funds.	C + 5 years	GC 26202
G.05.080	Budget, Supplemental Changes	Records related to the final phase of the budget process where departments can make minor changes to the already Board-adopted Budget.	C + 5 years	
G.05.090	Bus Token, Parking Validation Stamp, Postage Stamp and Postage Meter Logs	Consists of logs that centrally monitor • Postage stamps & postage meters • Parking validation stamps • Bus tokens	AA + 5 years; if no audit: 7 years	CFM 1.1.3; CFM 4.8.0; BP
G.05.100	Capital & Non Capital Assets	Consists of records relating to the purchase, acquisition and/or sale of equipment and property. Includes, but is not limited to • BOS approvals for equipment with a unit cost in excess of $250,000 • Encumbrances • Documents associated with the requisition, solicitation, evaluation and reward	Life span of capital asset + 5 years	
G.05.110	Cash Aid Funds	Consists of records related to the distribution of emergency funds by departments to welfare recipients, foster children and indigent patients.	AA + 5 years; if no audit: 7 years	CFM 1.6.1; CFM 1.6.8; BP
G.05.120	Change Fund	Consists of records of receipts and disbursements used to facilitate the collection of money from customers. Includes, but is not limited to • Letters to the A-C requesting establishment of a revolving fund • Lists of all revolving fund assignments & sub-assignments • Fund custodian Statements of Responsibility • Counterfeit Note Reports	AA + 5 years; if no audit: 7 years	CFM 1.6.1; CFM 1.6.5; BP
G.05.130	Claim Documentation	Records of administrative cost claims for property tax and supplemental tax bills for State mandated programs	AA + 5 years; if no audit: 7 years	
G.05.140	Collection Records	Consists of bankrupcy and collection files associated with collection activities.	5 years	

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G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.150	Cost Allocation	Consists of records related to allocation of expenditures and revenue. Includes, but is not limited to • Cost allocation reports • Memos/emails related to cost allocation	AA + 5 years; if no audit: 7 years	
G.05.160	Departmental Expenditures (DE)	Consists of documentation supporting expenditures required by State Statutes, court orders or formal actions by the BOS not covered by a specific contract and encumbered against a departmental appropriation.	AA + 5 years; if no audit: 7 years	CFM 4.1.6.4 BP
G.05.170	Departmental Service Orders (DSOs)	Consists of an agreement between County departments whereby one department (the requesting organization) agrees to reimburse a second department (the servicing organization) for services or goods to be provided.	AA + 5 years; if no audit: 7 years	CFM 4.1.6.6
G.05.180	Donations	Consists of records documenting donations to the County. Includes, but is not limited to • Donor letters • Fair market value of the items & respective approval letters • Monthly reconciliation reports	AA + 5 years; if no audit: 7 years	BP
G.05.190	eCAPS Financial System Reports	Consists of system reports that monitor and reconcile expenditures and revenues.	AA + 5 years; if no audit: 7 years	BP
G.05.200	Employee Expense Reports	Records of expenditures incurred by employees while on County business which are reimbursed. Includes, but is not limited to • Receipts • Permission or authorization forms • Travel expense records • Tuition reimbursements	AA + 5 years; if no audit: 7 years	BP
G.05.210	Encumbrances	Consists of documentation which authorizes an expenditure of funds. Includes, but is not limited to • Purchase orders • Contracts • Documents which provide the legal authority to incur an expenditure	AA + 5 years; if no audit: 7 years	CFM 4.1.5 BP

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G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.220	Fees and cost studies	Consists of records related to fees and cost studies. Includes, but is not limited to • Board Letters • Worksheets/schedules • Expenditure and Revenue reports • A/C approvals • Fee Summaries • Related correspondence	20 years	
G.05.230	GASB Records	Consists of records related to Governmental Accounting Standards Board reporting. Includes, but is not limited to • Contract agreements • Worksheets & reporting forms • Memos & other related correspondence	AA + 5 years; if no audit: 7 years	
G.05.240	Incidental Expenses and Miscellaneous Charges (MC)	Consists of documentation supporting miscellaneous expenditures encumbered against a department's appropriation as an MC. Includes, but is not limited to • Logs that track incidental expense expenditures for departmental meetings • Reasonable expenses associated with County business, special recognition, matters of protocol, staff training & management planning sessions	AA + 5 years; if no audit: 7 years	BP
G.05.250	Inter/Intra-departmental Transfers and Retirements	Consists of records documenting the transfer and/or retirement of capital assets. Includes, but is not limited to • Property Transfer Advice Forms • Intradepartmental Equipment Location Change Forms	Life span of capital asset + 5 years	CFM 6.6.0
G.05.260	Internal Voucher (IV)	Consists of billing and supporting documents which record departmental expenditures for services received from another County department or for costs allocated from another budget unit.	AA + 5 years; if no audit: 7 years	
G.05.270	Journal Vouchers	Consists of expenditure transfer and financial transaction records.	AA + 5 years; if no audit: 7 years	

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G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.280	LAC-CAL Equipment Acquisitions	Consists of records documenting the financing of equipment purchases with the proceeds from short-term financing through L.A. County - Capital Asset Leasing (LAC-CAL). Includes, but is not limited to • CEO approvals • A-C encumbrances • Vendor payments • Equipment requisition forms • Board approvals for unit costs in excess of $250,000 • LAC-CAL Inventory Acquisition Check Sheet forms • Annual inventories of LAC-CAL equipment	Life span of capital asset + 5 years	CFM 6.5.0 BP
G.05.290	Long Term Financing Arrangements, including Bonds and Certificates of Participation (COP)	Consists of documentation supporting Long Term Financing arrangements. Includes, but is not limited to • Bonds • Certificates of Participation • Capital leases	Life span of financing arrangement + 5 years	BP
G.05.300	Non Sufficient Funds (NSF) Checks Log	Consists of records of incoming NSF checks which identify the checks, collection efforts (including the NSF Check Demand Letter) and status of the checks (e.g. paid, unpaid, referred to the Treasurer-Tax Collector).	AA + 5 years; if no audit: 7 years	CFM 1.5.2; CCC 1719
G.05.310	Online Payment Plans	Departmental plans approved by the A-C detailing procedures and controls to be followed for processing on-line payments. Includes, but is not limited to • Employee process responsibilities • Management authorization workflows	AA + 5 years; if no audit: 7 years	BP
G.05.320	Petty Cash Records	Consists of records of receipts and disbursements from petty cash funds used for small departmental expenditures.	AA + 5 years; if no audit: 7 years	CFM 1.6.1
G.05.330	Purchase Orders (PO)	Consists of a document or requisition authorizing the delivery of specified merchandise (supplies) or the rendering of services and the resulting charge.	AA + 5 years; if no audit: 7 years	BP
G.05.340	Receipts: Receipt Books, Official County Receipts or Receipt Book Control Logs	Acknowledgements issued by the County for funds received as payment for services provided, fees charged (revenue) or monies to be held in trust.	AA + 5 years; if no audit: 7 years	CFM 1.3.3
G.05.350	Receipts - Treasurer	Receipts issued to departments by the Auditor-Controller	AA + 5 years; if no audit: 7 years	GC 26907.2 CFM 1.3.3
G.05.360	Revolving Cash Trust Funds	Consists of records that indicate the name, number, purpose, source, amount or authorization of the proposed fund.	AA + 5 years; if no audit: 7 years	CFM 2.5.0

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G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.370	Revolving Fund Purchasing Plans	Consists of a compliance plan approved by the A-C to implement an increased revolving fund purchasing authority. Includes the plan and cash/checking account system records.	5 years	CFM 4.4.1
G.05.380	Safe Inventories	Consist of departmental safe inventories and resulting purges of non-negotiable items (performed every six months).	5 years	CFM 1.1.4
G.05.390	Security Documents	Consists of current and expired security deposits including Certificate of Deposits and Letter of Credits.	C + 5 years	
G.05.400	Special Purpose Revolving Funds	Consists of records for revolving funds established for specific purposes or governed by specific legislation, grant or program requirements. Includes, but is not limited to • Requests to establish an A-C revolving fund • Listings of all revolving fund assignments & sub-assignments • Fund custodian Statements of Responsibility • Counterfeit Note Reports	Accounting records: AA + 5 years; if no audit: 7 years For Fund purpose and authority: Life Span of Fund + 5 years	
G.05.410	Trust Fund Records	Consists of transaction records identifying the source and disposition of trust monies. Includes, but is not limited to • Receipts (deposits) for trust monies received • Supporting documentation for all disbursements from the fund • Monthly reconciliations of trust fund activity • Trust fund cash balance supporting documentation • Detailed (internal) subsidiary records • Control accounts & bank accounts • Historical data documenting trust fund's purpose and authority	Accounting records: AA + 5 years; if no audit: 7 years For Fund purpose and authority: Life Span of Fund + 5 years	CFM 2.1.0; CFM, 2.1.3 thru 2.3.1; GC 26907
G.05.420	Unclaimed Funds	Consists of supporting documentation of unrestricted or unclaimed funds that have been held by the County for over three years.	AA + 5 years; if no audit: 7 years	CFM 2.6.0 GC 50050 thru 50055
G.05.430	Vendor Payment Records	Consists of source documents requesting and approving on-line payments to vendors.	AA + 5 years; if no audit: 7 years	GC 26907
AUDITS & COMPLIANCE				
G.05.440	General Audit Reports - Contracts	Consists of an audit of an agreement approved by the Board of Supervisors (BOS) for services supported by a specific contract.	C + 5 years	

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G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.05.450	General Audit Reports - Financial	Consists of official reports of financial audits and/or examinations of County finances as prepared by internal or external auditors.	5 years	
GRANT MANAGEMENT				
G.05.460	Grants - Successful	Records related to administering grants received by the County. Includes, but is not limited to • Grant revenue ledgers • Expenditure ledgers & reports • Documentation required by terms of the grant	Retention determined by granting authority or law	CFM 9.2.3
G.05.470	Grants - Unsuccessful	Rejected, withdrawn or unsuccessful applications. Includes, but is not limited to • Applications • Correspondence • Records relating to unsuccessful (rejected or withdrawn applications)	C + 5 years	CFM 9.2.0

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GRRS Abbreviations & Citation Sources

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RECORDS MANAGEMENT & ARCHIVES
GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE
MARKETING SERVICES/PUBLIC INFORMATION

G.06.000	Functional Area: MARKETING SERVICES/PUBLIC INFORMATION			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.06.010	Historical Publications	Published or unpublished histories written by the County or financed from County funds about the County government or a specific County department. Records documenting the functions & activities of a department determined to be of historical significance.	P	GC 26202
G.06.020	Media Packets	Materials publicizing County initiatives and activities for distribution to the media.	When superseded by new version. Note: disposition of old version must wait if the record has not met the County minimum of 2 years	GC 26202
G.06.030	Photographs, Recordings, and Non-textual Media - Audio/Visual	Photographs, graphic arts, slides, sound recordings, video recordings, posters, and other non-textual media that document the history and activities of the County or any of its departments, programs, or projects, unless otherwise specified in the GRRS or a DRRS. Generally permanent, however, if it is determined not to hold historic value, retain only as long as administratively valuable.	P if historic value; All others 2 years	GC 26202
G.06.040	Press Releases	A formal printed statement created for distribution announcing matters related to the County's business or administrative operations. May indicate details of the event or activity, dates and officials involved.	P if historical value; All others 2 years	GC 26202
G.06.050	Routine Publications	County produced publications. Includes, but is not limited to • Brochures, pamphlets & booklets • Newsletters (including ones for internal distribution) • Bulletins, leaflets & posters • Website content or any other similarly published material produced by County departments and distributed (free or by sale) to the public	3 years	GC 26202

GRRS Abbreviations & Citation Sources

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G.07.000	Functional Area: LEGAL/LEGISLATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.07.010	Claims - against the County	Documents related to claims against the County for damages. Includes, but is not limited to • Potential loss from employment • Contractual actions • Actions of government personnel & government properties	C + 5 years	GC 25105.5
G.07.020	Claims - by the County	Records related to claims made by the County for reimbursement or compensation for damages.	C + 5 years	CCP 338
G.07.030	Grand Jury Reports	Final reports issued by the County Grand Jury	C + 5 years	Penal Code 933c
G.07.040	Legal Opinions	Formal legal opinions written by County attorneys.	P	BP
G.07.050	Legal Orders	Records related to court-ordered mandates. Includes, but is not limited to • Levies • Subpoenas • Warrants	5 years from fulfillment date	
G.07.060	Legislation	Records related to proposed laws and regulations from Local, State and Federal agencies.	5 years	GC 26202
G.07.070	Litigation Files	Records related to responding to litigation or investigations involving the County. Includes, but is not limited to • Pleadings • Settlement agreements • Discovery requests • Depositions	C + 5 years	GC 26202

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GRRS Abbreviations & Citation Sources

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G.07.000	Functional Area: LEGAL/LEGISLATIVE FUNCTIONS			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.07.080	Ordinance Files	Records related to background information to prepare ordinances and advisement files	10 years following enactment; 5 years following restriction	GC 26202
G.07.090	Public Records Log and Requests for Information	Requests for documents and information under the authority of the California Public Records Act. Includes all supplementary material provided with the request.	5 years	GC 26202
G.07.100	Recordings of Meeting of Public Bodies	Audio or video recordings of the official proceedings of a public body subject to the Brown Act Provisions.	30 days after recording	GC 54953.5
CONTRACT MANAGEMENT				
G.07.110	Construction Contracts - Plans (Construction Schematics)	Consists of architectural and engineering plans and schematics.	P	GC 26202
G.07.120	Contracts and Monitoring	Consists of agreements and documents related to monitoring contracted services. Includes, but is not limited to • Consultant contracts • Work plans • Invoices	AA + 5 years; if no audit: 7 years	GC 26202
G.07.130	Project Files: Non-Capital Improvement	Includes, but is not limited to • Correspondence or memorandums (incoming and outgoing) • Resolutions • Narratives • Budget revisions • Survey information • Change orders • Computer runs and reports all pertaining to projects in progress • Contract specifications for various proposed projects sent out for bid	AA + 5 years; if no audit: 7 years	GC 26202
G.07.140	Protests of unsuccessful Requests for Solicitations	Consists of records associated with a protest submitted by an unsuccessful bidder.	Finding by Protest Review Panel + 5 years	GC 26202

GRRS Abbreviations & Citation Sources

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G.07.000	**Functional Area: LEGAL/LEGISLATIVE FUNCTIONS**			
Record Code	**Record Title**	**Record Description**	**Retention Period**	**Authority Citations**
G.07.150	Requests for Solicitations - Unsuccessful	Records related to each unsuccessful bid or proposal by a vendor/contractor to provide goods and services to the County.	Selection of vendor + 5 years	GC 26202
G.07.160	Solicitations - Recommended Vendor	Records related to each accepted bid or proposal by a vendor/contractor to provide goods and services to the County. Includes, but is not limited to • Bid proposals, spreadsheets & award letters • Requests for Quotes (RFQs) • Requests for Proposals (RFPs) • Requests for Information (RFIs) • Work Order Requests (WORs) • Requests for Statement of Qualifications (RFSQs) • Invitation for Bids (IFBs) • Evaluations of submissions offered by a vendor/contractor	AA + 5 years; if no audit: 7 years	GC 26202

GRRS Abbreviations & Citation Sources

Note: A retention period generally begins on January 1 of the year following the creation of a record. All retention periods assume calendar years unless indicated otherwise. For example, a record created in June 2005 that has a three-year retention period may be disposed after January 1, 2009 (Three years after January 1, 2006).

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2014

DEPARTMENTAL
Records Retention Schedules

Los Angeles County

Los Angeles County Records Retention Schedule

Arts Commission (AC) Version 8 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AC-010	Arts Commission Meeting Records	Includes: Minutes,agendas, and supporting materials.	Arts Commission	Permanent	Gov't Code 34090(e), 25100 et seq.	
AC-020	Arts Education Program Policy Records	Contains: Adopted policy and revisions, progress reports, and supporting materials.	Arts Commission	Permanent: Adopted Policies. 3 years: All other records.	Gov't Code 34090	
AC-030	California Arts Council Grant Records	Contains: Grant award agreements and related fiscal records and reports.	Arts Commission	3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken. **Note:** Department Counsel approval needed before disposing of records	Gov't Code 34090	Refer to grant application close out procedures for records retention requirements; if longer retention periods are imposed, those shall govern over this schedule.
AC-040	County Civic Art Inventory Records	Includes: Database entries, research, surveys, questionnaires, and related records.	Arts Commission	2 years after item is removed from the inventory	Gov't Code 34090	
AC-050	Ford Amphitheatre Historical Files:	Includes: Photos, publications, news clippings, and other information.	Arts Commission	Permanent: Items of continuing archival value; Dispose as needed: All others	Gov't Code 34090	Review annually to determine continuing archival value

Arts Commission (AC) Version 8 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AC-060	Holiday Celebration Program Event Agreements and Related Records	Contains applications, awards, agreements, and related records concerning the annual event.	Arts Commission	5 years after agreement term expires or final payment. If any litgation claim or audit is started before the expiration of the 5 year period, the appplicable records shall be retained until all litigation claims or audit findings invloving the records have been resolved and final action taken.	CCP 337; Gov't Code 34090	
AC-070	Holiday Celebration Program Recordings	Includes: Recordings of performances and waivers signed by the performers. Includes program name, date, performer's name, terms, and related information.	Arts Commission	Permanent		
AC-080	Musicians Trust Fund Program or Free Concerts Applications and Agreements	Contains applications, awards, agreements, and related records	Arts Commission	5 years after agreement term expires or final payment. If any litgation claim or audit is started before the expiration of the 5 year period, the appplicable records shall be retained until all litigation claims or audit findings invloving the records have been resolved and final action taken.	CCP 337; Gov't Code 34090	

Arts Commission (AC) Version 8 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AC-090	National Endowment For the Arts (NEA) Grant Records	Contains: Fiscal records, cancelled checks, invoices, contracts, travel reports, donor letters, in-kind contribution reports, personnel activity, statistical records, and all related records to the award.	Arts Commission	3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken. **Note:** Department Counsel approval needed before destruction of records	OMB Circular A-110, Section 53 or the "Common Rule," Section 1157.42, as applicable	Refer to grant application close out procedures for records retention requirements; if longer retention periods are imposed, those shall govern over this schedule.
AC-100	OGP Grants	Contains: applications, awards, agreements, and related program records by fiscal year covering a period of 2 years.	Arts Commission	5 years after agreement expires. If any litgation claim or audit is started before the expiration of the 5 year period, the appplicable records shall be retained until all litigation claims or audit findings invloving the records have been resolved and final action taken.	CCP 337; Gov't Code 34090	

Arts Commission (AC) Version 8 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AC-110	Arts Internship	Contains: applications, awards, agreements and program related records by fiscal year.	Arts Commission	5 years after agreement expires. If any litgation claim or audit is started before the expiration of the 5 year period, the appplicable records shall be retained until all litigation claims or audit findings invloving the records have been resolved and final action taken.	CCP 337; Gov't Code 34090	
AC-120	Civic Art Artist/Fabricators	Agreements with artists, fabricators, and/or designers creating artwork accessioned into the county collection, all copyrights and ownership, during the ownership of the work.	Arts Commission	5 years after agreement expires or artwork has been deaccessioned from the County's Civic Art Collection. If any litgation claim or audit is started before the expiration of the 5 year period, the appplicable records shall be retained until all litigation claims or audit findings invloving the records have been resolved and final action taken.		

Arts Commission (AC) Version 8 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AC-130	Contractors/Consultants	Agreements with contractors and/or consultants and all related files.	Arts Commission	5 years after agreement expires. If any litgation claim or audit is started before the expiration of the 5 year period, the appplicable records shall be retained until all litigation claims or audit findings invloving the records have been resolved and final action taken.		

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Los Angeles County Records Retention Schedule

Animal Care & Control (ANC) Version 0 10/21/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ANC-010	Animal Bite Records	Contains bite reports and related records.	Animal Control	5 years		
ANC-020	Animal Care & Control Foundation Records	Includes: Policies, purchases, donations, expenditures, and related records.	Animal Control	5 years		
ANC-030	Animal Clinic Records	Contains surgery log, vaccinations, quarantine release notice, pre-euthanasia, reports, veterinary, and related records.	Animal Control	5 years		
ANC-040	Animal Cruelty Investigation Files	Contains investigations of animal cruelty & neglect.	Animal Control	5 years after case closed		
ANC-050	Animal Impound Records	Contains stray animal, impound tickets, kennel reports, and related records	Animal Control	5 years		
ANC-060	Animal License Records	Contains dog and cat licenses, work reports, license breakdown, and related records.	Animal Control	5 years		Vital & confidential
ANC-070	Animal Rescue Records	Contains records concerning operations of the department animal rescue team (DART) and animal care and control equine response team (LACDACCERT).	Animal Control	5 years		
ANC-080	Citations and Violations	Contains citation, reports, correspondence, and related records.	Animal Control	5 years		
ANC-090	Contracts: City Animal Control Contracts	Includes: Agreements, ordinances, correspondence, and related records with neighboring cities to supply them with animal control services	Animal Control	5 years after agreement ends		
ANC-100	Controlled Substances Report	Includes: Drug inventories, statistical reports on use, and related record.	Animal Control	10 years: Audit records; 5 years: All other records	21 CFR 1304.04	
ANC-110	Case Files: Felonies	Contains Dangerous Dog and other felony case files. Includes: Crime reports, investigation process, case logs, individual supplemental reports, filed interview reports, arrest records, documentation of required notifications, statements, evidence submission, photographs, video footage, telephone notes, memos, faxes, and communications.	Sheriff	10 years after case is closed or resolved	Cal Penal Code 800-801	
ANC-120	Case Files: Misdemeanor	Contain Public Nuisance and other misdemeanor case files. Includes: Crime reports, investigation process, case logs, individual supplemental reports, filed interview reports, arrest records, documentation of required notifications, statements, evidence submission, photographs, video footage, telephone notes, memos, faxes, and communications.	Sheriff	6 years	Cal Penal Code 802	

Animal Care & Control (ANC) Version 0 10/21/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ANC-130	Emergency Treatment Forms	Includes: Animal medical treatment information	Animal Control	5 years		
ANC-140	Euthanasia Log	Includes: Date, list of animals due for consideration, approvals, and related information.	Animal Control	5 years		
ANC-150	Legal Compliance Records	Includes: Animal law notices, orders to comply, and related records.	Animal Control	5 years		
ANC-160	Pet Adoption Program Records	Includes: Adoption papers, licenses, vaccinations, correspondence, adoption partners, and related records	Animal Control	5 years		
ANC-170	Rabies Testing and Vaccination Records	Includes: Tests, request for vaccination, certification of vaccination, and related records.	Animal Control	5 years		
ANC-180	Shelter Records	Contains records pertaining to the operations of department animal shelters. Including fiscal and statistical reports and other records.	Animal Control	5 years		
ANC-190	Shelter Volunteer Records	Includes: Activities, names of volunteers, location, and related information.	Animal Control	5 years after leaving ther program		

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Alternate Public Defender (APD) Version 0 10/21/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
APD-010	Client Case Files	All documentation generated in the course of representation of a client. Includes: Client personal information, prosecutorial charging documents, arrest reports, reports of experts, investigation reports, diagrams, pictures, case law, personal notes, probation reports, and case logs.	Alternate Public Defender	75 years or until client authorizes destruction	State Bar Formal Opinion No. 2001-157 b.	Vital and confidential
APD-020	Investigation Files	Includes: Documentation of all investigative work done on a case, reports, case logs, handwritten notes, pictures, and diagrams.	Alternate Public Defender	75 years or until client authorizes destruction.	State Bar Formal Opinion No. 2001-157 b.	Vital and confidential
APD-030	Special Innocence Project Records	Includes: Names, date, case details, reports, and related research information.	Alternate Public Defender	75 years or until client authorizes destruction.	State Bar Formal Opinion No. 2001-157 b.	Vital and confidential

Los Angeles County Records Retention Schedule

Auditor-Controller (AUD) Version 0 11/4/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AUD-010	1099 Forms	Includes: 1099-MISC, 1099-INT, and other related tax forms.	Auditor-Controller	6 years after the date of submission to the IRS		
AUD-020	Apportionment Records	Includes: Reports and documentation trust funds records, jurisdictional change calculations, annexations files, and related records.	Auditor-Controller	Permanent		
AUD-030	Arbitrage Rebate Records	Includes: Federal tax compliance (IRC 103.6) calculation filing and supporting documents.	Auditor-Controller	5 years after bonds have been fully paid or defeased	Cal Code of Civil Procedures 337.5	
AUD-040	Audit Reports	Includes: Reports and supporting work papers.	Auditor-Controller	10 years after final report is issued. Note: If contract is involved, contact Counsel before disposing.		
AUD-050	Authorization Documents	Includes: Signature Authorizations from various County departments.	Auditor-Controller	5 years after authorization ends		
AUD-060	Bank Direct Deposit Authorizations	Includes: Department name, signatures, routing information, and related information.	Auditor-Controller	2 years after termination transaction is processed in the system by Countywide Payroll Division		
AUD-070	Bond Anticipation Notes (BANS)	Includes: Bond documents, debt service schedules, draws, redemptions, and related records.	Auditor-Controller	Permanent	Cal Code of Civil Procedures 337.5	
AUD-080	Capital Asset Information System (CAIS) Records	Includes: System data and building and improvements change/delete forms.	Auditor-Controller	Permanent		
AUD-090	Cash Deposits Report	Includes: Cash deposits by Org Level 1 signature pages and the corresponding reports for the County, including Sanitation and some agencies.	Auditor-Controller	5 years and audit is completed	CFM 9.1.6; CFM 10.3.0	
AUD-100	Certificate of Participation (COP) Special Fund Records	Includes: Records related to the Marina Del Rey Certificates of Participation (COP's) including daily revenue pledges and debt service payments.	Auditor-Controller	5 years after the term of the certificate and audit completed	CFM 9.1.6	
AUD-110	Community Improvement District (CI's) and Community Facilities District (CFD's) Bond Records	Includes: Fiscal agent records, supporting documents for payment requests, journal vouchers, deposit permits, wire transfers, monthly fund reconciliations, quarterly reports, legal documents for bonds sold, and related records.	Auditor-Controller	10 years after bond matures and last payment made		
AUD-120	Community Redevelopment Agency (CRA) Property Tax Revenue	Includes: Property tax revenue distribution to taxing entities, electronic fund transfers, warrant preparation and related records.	Auditor-Controller	5 years after document is received		

Auditor-Controller (AUD) Version 0 11/4/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AUD-130	Community Redevelopment Agency (CRA) Records	Contains records supporting the division and allocation of property tax payments and contractual provisions of tax sharing agreements.	Auditor-Controller	Permanent		
AUD-140	Comprehensive Annual Financial Reports (CAFR)	Contains reports, adjusting entries (AEs, and work papers. Includes: Trial balance spreadsheets, debt service information, supporting schedules, documentation for notes to the financials, joint powers of authority bond activity, non-profit corporation, work papers, Governmental Accounting Standards Board (GASB) 3 work papers, and related records.	Auditor-Controller	Permanent: Reports and adjusting entries; 10 years: All other records		
AUD-150	Contract Monitoring Records	Includes: Copies of contract, original audit working papers, findings, and related records.	Auditor-Controller	10 years after audit is completed or retain for time period specified by the agreement, whichever is longer. **Note:** For Federal and State contracts, contact Counsel before disposing.		
AUD-160	County Accounting & Purchasing System (CAPS) Reports	Consists of reports summarizing and providing details of County financial activities, including revenues and expenditures.	Auditor-Controller	Permanent		
AUD-170	County Employee Savings Bond Purchase Authorizations	Includes: Name, dates, amount, changes, and related information.	Auditor-Controller	5 years after cancellation date		
AUD-180	County Fraud Hotline and Other Case Files	Includes: Investigations, background documents, forensic and other evidence, work papers, audio tapes of interviews, transcripts, supporting documents, and final report.	Auditor-Controller	10 years after final report is issued. **Note:** If contract is involved, contact Counsel before disposing.		Confidential
AUD-190	Countywide Cost Allocation Plan (CCAP) Records	Includes: Plans and supporting records, including reports, worksheets, use allowance and others.	Auditor-Controller	Permanent: Records of decisions or issues affecting multiple cost plan years; 7 years: All others		
AUD-200	Court-Ordered Deposits	Contains information on court-ordered deposits in interpleader, condemnation, and other proceedings. Includes: Name, account number, and interest.	Auditor-Controller	Permanent		

Auditor-Controller (AUD) Version 0 11/4/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AUD-210	Deferred Compensation Plan Records	Contains Great West Retirement Services administration function over the County's various defined contribution retirement plans (Horizons, Savings, Deferred Earnings, Pension Savings, and Termination Pay), including, monthly reconciliation reports, payroll information, wire transfer, journal voucher documents, trustee and audit reports, plan administration committee minutes, contracts and other plan-related documents.	Auditor-Controller	Permanent	29 CFR 1627.3(b)(2)(3)	
AUD-220	Deposit Permits	Includes: Records of cash entered into County accounting system.	Auditor-Controller	10 years	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
AUD-230	Encumbrance Records	Contains purchase orders, contracts, and other records used in documenting reduction of the amount of available spending authority.	Auditor-Controller	3 years after encumbrance closed. **Note:** If contract is involved, contact Counsel before disposing.		
AUD-240	Executive/Taxpayer Inquiries	Contains taxpayer's inquiries and corrective action responses submitted to and by the Board of Supervisors, public officials and executive office. Includes: Refund request, copies of letters to the taxpayers, calculation worksheet, tax bills, and refund documentations submitted to the secured, tax defaulted, and unsecured tax rolls.	Auditor-Controller	5 years after matter is settled		
AUD-250	Fixed Asset Account System (FAAS) Records	Includes: System data and equipment change/delete forms.	Auditor-Controller	Permanent		
AUD-260	Forgery Claim Records	Includes: Investigator notes, bank and client correspondence, forged warrants, examiner opinion letter, and related records.	Auditor-Controller	5 years after claim closed		
AUD-270	Foster Family Agency Program Records	Includes: Copies of Agreements, statements, reports, state licenses, certificates, qualifications, educational background of staff, policies and procedures, and related records.	Auditor-Controller	5 years after agreement expires. **Note:** If contract is involved, contact Counsel before disposing.		
AUD-280	Franchises & Concessions Payment Records	Includes copies of checks, agreements with payers that establish terms of payment, and related records.	Auditor-Controller	Permanent		
AUD-290	General Obligation (GO) Bond Records	Includes: Debt service schedules, payment set-up documents, and related records.	Auditor-Controller	Permanent	Cal Code of Civil Procedures 337.5	
AUD-300	Governmental Accounting Standard Board (GASB) Records	Includes: Debt service schedule and payment set-up docs primarily for school district, flood control, and Public Works bonds.	Auditor-Controller	Permanent		
AUD-310	HIPAA Privacy Complaint Files and Log	Includes: Log, investigation reports, work papers, legal opinions, and related records.	Auditor-Controller	6 years after the complaint is closed or the conclusion of any Office of Civil Rights investigation, whichever is later.	45 CFR 164.530	

Auditor-Controller (AUD) Version 0 11/4/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AUD-320	Hospital Files	Includes: Calculations of subsidies provided to the Hospitals, interest on loans to the Hospitals, and Countywide Cost Allocation Plan overhead charges to the Hospitals from General Fund.	Auditor-Controller	10 years after the end of the Fiscal Year in which the financial activity occurred		
AUD-330	Interest Allocation Files	Includes: Calculations for treasury pool earnings, distribution to pool participants, and supporting work papers.	Auditor-Controller	10 years after the end of the Fiscal Year in which the allocation occurred		
AUD-340	Internal Control Certification Program (ICCP) Files	Includes: Fiscal Compliance Certification letters, instructions, and completed biennial worksheets.	Auditor-Controller	5 years	CFM 11.2.7	
AUD-350	Journal Vouchers	Includes: Original and manual journal vouchers and any supporting documents processed through various systems.	Auditor-Controller	Permanent	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
AUD-360	Metropolitan Transportation Authority (MTA) Records	Includes: Fiscal agent records, supporting documents, payment authorization, correspondence from the State and the MTA, payment requisition, wire transfer documents, reports to the MTA, and audit reports.	Auditor-Controller	Permanent	21 CCR 6662	
AUD-370	Payroll: Child Support Payments	Includes: Child and spousal support orders, reports, and related records.	Auditor-Controller	5 years after vacate order is received		
AUD-380	Payroll: Employee Tax Forms	Includes: W-4 (Federal taxes); DE-4 (State taxes); W-5 (Earned Income Credit), and other related records.	Auditor-Controller	6 years after the date of submission to the IRS		
AUD-390	Payroll: Garnishments	Includes: Earnings withholding orders, Internal Revenue Service tax levies, Chapter XIII balancing reports, and related records.	Auditor-Controller	3 years after release issued or order is paid in full		
AUD-400	Payroll: Processing Records	Includes: Consists of trust reconciliations, tax payment records, payment recap reports; overpayment notices and ledger, internal journal vouchers, journal vouchers, overpayment collections referrals, deposit permits, and related records.	Auditor-Controller	5 years		
AUD-410	Payroll-Master Payroll Register	Includes: Detailed payroll registers of County employees.	Auditor-Controller	10 years		
AUD-420	Property Tax : Public Acquisition	Includes: Completed audit offsets, Assessment Appeals Board documents, pending and completed public acquisition files, information from Assessors and agencies, and related records.	Auditor-Controller	5 years after sale of property		
AUD-430	Property Tax: Payment Plans	Include: Requests, orders, calculation rates, codes, reports, and related records.	Auditor-Controller	5 years after final plan payment is made and audit completed	CFM 9.1.6; CFM 10.3.0	
AUD-440	Property Tax: Direct Assessments	Includes: Batching manual refunds, reconciliation and updates, bankruptcy and court case files, incoming roll change documents log, State Board of Equalization (SBE) roll changes, and related records pertaining to the secured tax roll (STR) as requested by agencies.	Auditor-Controller	5 years or until after court case concludes, whichever is longer		
AUD-450	Property Tax: Ledgers and Other Records	Include: Requests, orders, calculation rates, codes, reports, and related records.	Auditor-Controller	10 years		

Auditor-Controller (AUD) Version 0 11/4/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AUD-460	Property Tax: Roll Changes	Includes: Delinquent roll change reconciliation schedules, corrections, and change processing.	Auditor-Controller	12 years	Cal Rev & Tax 4377	
AUD-470	Public Building Funding Records	Contains debt, loan, and related records for funding County buildings.	Auditor-Controller	Permanent	CFM 9.1.6; CFM 10.3.0	
AUD-480	Public Financing Records	Contains debt, loan, and related records for financing County activities.	Auditor-Controller	Permanent	CFM 9.1.6; CFM 10.3.0	
AUD-490	Sales and Use Tax Returns	Includes: Tax returns filed with the State Board of Equalization on behalf of the County.	Auditor-Controller	5 years and state audit completed, whichever is later		
AUD-500	Superior Court Statement Reports	Consists of quarterly revenue reports.	Auditor-Controller	10 years after the end of the Fiscal Year of the reports		
AUD-510	Warrants	Includes: Original source documents, requisitions, and supporting documentation.	Auditor-Controller	10 years	Cal Gov Code 26907	
AUD 520	County Warrant Claims	Records related to investigations of claims for replacement warrants intended recipients and/or their legal representatives	Auditor-Controller	5 years after the case is closed.		

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Los Angeles County Records Retention Schedule

Agricultural Commissioner/Weights and Measures (AWM) Version 0 12/2/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AWM-010	Apiary Files	Contains reports on Africanized Bees and Honey Bees. Includes: Pesticide and apiary violations, public safety documents, poisoning reports, complaints, inspections, and code enforcement.	Agricultural Commissioner/Weights and Measures	5 years		
AWM-020	Business Inspection Point Fee Reports	Contains batch receipts of fee charged (per locations based on the number of scales that the stores owned) and fee payment receipts of commercial linear measures.	Agricultural Commissioner/Weights and Measures	5 years	CFM 1.3.3.3	
AWM-030	Business Practices/ Inspection Reports	Contains reports on all quantity control inspections in which short measure violations occurred. Includes: Package inspection reports, test purchases reports, and audit inspection worksheets.	Agricultural Commissioner/Weights and Measures	4 years		
AWM-040	Calibration Records	Contains records of agreement with Division of Measurement Standards for calibrating artifacts in Southern California counties and reports of performance on every testing and calibration done by the Metrology Laboratory.	Agricultural Commissioner/Weights and Measures	Permanent		
AWM-050	California State Revenue Reports - Department of Food and Agriculture (CDFA) and Department of Pesticide Regulation (DPR)	Contains monthly reports from various divisions to the California Department of Food and Agriculture (CDFA) and the Department of Pesticide Regulation (DPR) reporting on State Revenue Recovery Required Inspections. Includes: Division of plant industry report, report number 4, 4A, 7, 8, 9; pest exclusion activities report, division of inspection services, plant health and pest prevention services report, seed report number 6, assessment reports, general inspections, low risk terminal inspections, certification activities, enforcement activities, pest and damage records (PDR) (State Form, #65-020), division of inspection services quality control batch reports (fruit, vegetable, and egg), nursery inspection report and pesticide regulation (report 5).	Agricultural Commissioner/Weights and Measures	3 years after final payment		
AWM-060	Centigrade-Fahrenheit Uncertainties Files	Uncertainty calculations of temperature in Centigrade to Fahrenheit for laboratories measuring equipments.	Agricultural Commissioner/Weights and Measures	Permanent		
AWM-070	Certificates: Metrology Laboratory	Contains state and institutional issued certificates. Includes: Certificates of accuracy and National Institute of Standards and Technology certificates.	Agricultural Commissioner/Weights and Measures	Permanent		
AWM-080	Certified Farmers' Market Files	Contains applications and certificates for Certified Farmers' Markets and Certified Producers to conduct business and to sell produce at a Certified Farmers' Market in Los Angeles County. Includes: Name, date, type of commodity, site location, and field inspection report.	Agricultural Commissioner/Weights and Measures	4 years	3CCR 1392.4	
AWM-090	Chain of Custody Documents	Details the history of sample possession from collection, to analysis, and disposal.	Agricultural Commissioner/Weights and Measures	6 years to include the last two onsite audits	Environmental Protection Agency (EPA) Manual for the Certification of Laboratories Analyzing Drinking Water	

Agricultural Commissioner/Weights and Measures (AWM) Version 0 12/2/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AWM-100	Commodity Inspection Reports: Commodities	Contains written verification of inspection detailing violations for commodity regulation programs and/or defects found. Includes: Certified Farmers' Market reports, certified growing ground files, egg notice of non-compliance (NNCs), fruit and vegetable wholesale non-compliance report, egg inspection worksheet, and egg quality control form #517-015.	Agricultural Commissioner/Weights and Measures	4 years of occurrence of violation	Cal Food & Agr. Code 27581.9 3CCR 1392.4 (f)(9)	
AWM-110	Crop Reports	Records documenting crop acreage, yield, and gross value of agricultural products produced in Los Angeles County.	Agricultural Commissioner/Weights and Measures	5 years for statistic, hard copies permanent		vital
AWM-120	Drinking Water Test Records	Contains records raw data from samples to detect bacteria in drinking water. Includes: Bacteriological test, water test rates and method worksheet, ammonia ion selective electrode worksheet, atomic absorption worksheet, biochemical oxygen demand (BOD) worksheet, boron worksheet, calcium, magnesium and hardness, chemical oxygen demand, chromium VI, color/odor/turbidity worksheet, cyanide, formaldehyde worksheet, general mineral & physical & inorganic analysis, ion chromatography, kjeldahl nitrogen - ion selective electrode worksheet, mercury, methylene blue active substances (MBAS) worksheet, organic chemical analysis, perchlorate, pH (percentage of Hydrogen concentration), phenolic, sulfide, suspended solid, volatile suspended solids, flavor threshold number (FTN), total coliform/fecal coliform worksheet, total coliform/fecal coliform, streptococcus/enterococcus quality control, total dissolved solids (TDS) worksheet, conductivity worksheet, total phosphate, turbidity, and worksheet for alkalinity and pH.	Agricultural Commissioner/Weights and Measures	10 years to include the last two onsite audits	Environmental Protection Agency (EPA) Manual for the Certification of Laboratories Analyzing Drinking Water 40 CFR 141.33	
AWM-130	Fire Department Brush Inspection Reports: 410B's	Contains Fire Department brush clearance unit forms, requests, and related records.	Agricultural Commissioner/Weights and Measures	2 years	Cal Gov Code 26202	
AWM-140	Hazard Abatement Direct Assessment Charges	Contains direct assessment charges on parcel owners' tax bills.	Agricultural Commissioner/Weights and Measures	3 years	Cal Gov Code 26202 Health & Safety Code 14921	
AWM-150	Hazardous Material Inventories	Contains inventory of all hazardous materials stored by nurseries and growers who possess reportable quantities of hazardous materials. Includes: Los Angeles County Fire/Health Hazmat Department forms and site inspection reports.	Agricultural Commissioner/Weights and Measures	6 years		
AWM-160	Metrology Laboratory Environmental Control Statistics	Records of environmental condition, such as temperature, air pressure, and relative humidity, in Metrology Laboratory.	Agricultural Commissioner/Weights and Measures	5 years		
AWM-170	Lead Quality Assurance Records	Contains records of raw data collected from samples to assure the quality of the lead samples. Includes: Lead analysis worksheet for all food and other samples and quality assurance report.	Agricultural Commissioner/Weights and Measures	12 years to include the last two onsite audits	Environmental Protection Agency (EPA) Manual for the Certification of Laboratories Analyzing Drinking Water	

Agricultural Commissioner/Weights and Measures (AWM) Version 0 12/2/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AWM-180	Los Angeles International Airport (LAX) Security Badge Applications	Contains applications used to gain access into Los Angeles Airport.	Agricultural Commissioner/Weights and Measures	Permanent	County Code 5.64	
AWM-190	Metrology Laboratory Accreditation Records	Contains all required laboratory documentations mandated by the Metrology laboratory in order to apply for recognition from the National Institute of Standards & Technology. Includes: Assurance Reports and Round Robin Tests.	Agricultural Commissioner/Weights and Measures	Permanent		
AWM-200	Metrology Laboratory Recall Records	Contains internal field standards and calibrated period requirements to be recertified on different time periods.	Agricultural Commissioner/Weights and Measures	Permanent		
AWM-210	Organic Produce Registration List	Contains information on persons selling, growing, or handling organic products registered with Los Angeles County.	Agricultural Commissioner/Weights and Measures	10 years	7CFR C1 205.103 7CFR C1 205.510	
AWM-220	Pathology Laboratory Nematode Records	Includes database of root samples processed by the Plant Pathology Laboratory.	Agricultural Commissioner/Weights and Measures	3 years after processed		
AWM-230	Pest Management Permits	Contains permits issued to various agencies. Includes: Alligator weed permits, restricted material permits, caltrans encroachment permits.	Agricultural Commissioner/Weights and Measures	3 years after permit expires		
AWM-240	Pesticide Permits	Includes: Consultation records, agricultural operator identification numbers, site identification numbers, agricultural restricted materials. Permit information includes operator identification numbers, site numbers, granted and denied permits, non-restricted and restricted pesticides used by pest control companies, pilots, growers, schools, and government agencies.	Agricultural Commissioner/Weights and Measures	3 years after permit expires	3 CCR 6623	
AWM-250	Pest Management: Pico Rivera Facility Closure Records	Correspondence, notices, use letters, testing reports, environmental case, and sampling results.	Agricultural Commissioner/Weights and Measures	permanent		Vital
AWM-260	Pest Quarantine Violation Reports	Contains district field inspectors' documented quarantine violations and pest interceptions encountered during inspections of incoming agricultural commodities. Includes: Notice of rejection (NOR), State form # 66-071, and quarantine inspection reports.	Agricultural Commissioner/Weights and Measures	3 years		
AWM-270	Pesticide Company Registration Records	Contains annual registration by advisers, pest control companies, and pilots to perform pest control work in Los Angeles County.	Agricultural Commissioner/Weights and Measures	3 years		
AWM-280	Pesticide Episodes and Violations	Investigation of pesticide related illnesses and other pesticide use. Includes written narrative documenting non-compliances found during inspections or consumer complaint episodes, photographs, notice of proposed actions and hearing, and decision letters.	Agricultural Commissioner/Weights and Measures	4 years after occurrence of violation	Cal Food & Agr Code 13000	
AWM-290	Pesticide Notices of Intent	Correspondence indicating the date and addresses of locations where restricted materials are to be applied.	Agricultural Commissioner/Weights and Measures	2 years		

Agricultural Commissioner/Weights and Measures (AWM) Version 0 12/2/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AWM-300	Pesticide Training Records	California Department of Pesticide Regulation approved continuing education classes which are provided to private companies, growers, nurseries, schools, and government agencies. Includes: Application, sign-in sheet, class approval requests, private applicator test results, and written training materials.	Agricultural Commissioner/Weights and Measures	2 years	3 CCR 6724	
AWM-310	Pesticide Use Reports	Contains reports to Department of Pesticide Regulation (DPR) detailing pesticides used by pest control companies, growers, schools, and government agencies.	Agricultural Commissioner/Weights and Measures	2 years		
AWM-320	Phytosanitary and Quarantine Certificates	Consist of Federal and State certificates issued for domestic and foreign origin commodities destined for locations within and outside the United States certifying that commodities are free of general pests and meet quarantine regulations for the destination. Includes: Federal form 577 and 579, federal export form 578, quarantine compliance certificate, and state form 66-072.	Agricultural Commissioner/Weights and Measures	3 years		
AWM-330	Price Verification Case Files	Contains current active criminal cases and depositions, which includes: Civil Administrative Penalty actions against companies with scanner overcharges, Notice Of Proposed Actions, inspector reports, certificate of inspection, inspectors' narratives of non-compliances found, notice of violations, photographs, and other evidences needed for reports and court purposes.	Agricultural Commissioner/Weights and Measures	4 years or until case closed/resolved		
AWM-350	Registered Produce Dealer Applications	Contains application for permanent or mobile Certified Produce Dealer certification.	Agricultural Commissioner/Weights and Measures	3 years		
AWM-360	Sales Price Reports	Inspection report forms detailing price accuracy inspection in retail stores with scanners/electronic point of sales.	Agricultural Commissioner/Weights and Measures	4 years		
AWM-370	Scale Certificate of Inspection Record	Contains records of inspection for all scales within an individual location, which includes: General scales, retail scales, and state inspection compliance forms	Agricultural Commissioner/Weights and Measures	4 years		
AWM-380	District Cards	Contains: Inspection history record of each scale and meter locations.	Agricultural Commissioner/Weights and Measures	Permanent		Vital
AWM-390	Examinations	Includes: Ethnicity form, interview rating form, rating from records, waiver forms, written material, answer sheets recording examination results for the Structural Branch 2 & 3 licensing exam, the Agricultural Private Applicator Certificates, and State of California Device Repairman test.	Agricultural Commissioner/Weights and Measures	5 years	County Code 7.22- 7.23	
AWM-400	Structural Pesticide Fumigation Fee	Contains records of structural fumigations performed in LA County.	Agricultural Commissioner/Weights and Measures	5 years		

Agricultural Commissioner/Weights and Measures (AWM) Version 0 12/2/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AWM-410	Toxicology Laboratory Analyses Result Files	Contains files summarizing all laboratory test results, types, and methods used on collected water samples, residue sampling tied to episodes, violations and general monitoring programs, and private and public agency contracts.	Agricultural Commissioner/Weights and Measures	10 years	Environmental Protection Agency (EPA) Manual for the Certification of Laboratories Analyzing Drinking Water 40 CFR 141.33	
AWM-420	Toxicology Laboratory Certificates and Licenses	Certifications and licenses required by the Environmental Toxicology Laboratory in order to legally conduct specific tests and methods.	Agricultural Commissioner/Weights and Measures	6 years	Environmental Protection Agency (EPA) Manual for the Certification of Laboratories Analyzing Drinking Water	
AWM-430	Undercover Investigation Reports	Contains reports of undercover purchases which includes: Petroleum Test Purchase reports and Single Transaction reports.	Agricultural Commissioner/Weights and Measures	4 years		
AWM-440	Waste Water Worksheets and Reports	Contains records raw data taken from waste water samples. Includes: Ammonia ion selective electrode worksheet, atomic absorption worksheet, biochemical oxygen demand (BOD) worksheet, boron worksheet, calcium, magnesium and hardness, chemical oxygen demand, chromium VI, color/odor/turbidity worksheet, cyanide, formaldehyde worksheet, general mineral & physical & inorganic analysis, ion chromatography, kjeldahl nitrogen - ion selective electrode worksheet, mercury, methylene blue active substances (MBAS) worksheet, organic chemical analysis, perchlorate, pH (percentage of Hydrogen concentration), phenolic, sulfide, suspended solid, volatile suspended solids, flavor threshold number (FTN), total coliform/fecal coliform worksheet, total coliform/fecal coliform, streptococcus/enterococcus quality control, total dissolved solids (TDS) worksheet, conductivity worksheet, total phosphate, turbidity, and worksheet for alkalinity and pH.	Agricultural Commissioner/Weights and Measures	10 years to include the last two onsite audits	Environmental Protection Agency (EPA) Manual for the Certification of Laboratories Analyzing Drinking Water 40 CFR 141.33	
AWM-450	Weed Abatement Declaration Records	Consist of annual lists of properties declared to be a seasonal recurrent public nuisances. Includes: Preliminary and final declaration lists, declaration addendums, declaration card responses, and weed abatement notice files.	Agricultural Commissioner/Weights and Measures	2 years	Cal Gov Code 26202	
AWM-460	Weed Abatement Liens	Contains recorded liens, lien releases, and corrections with the Registrar-Recorder's and Auditor Controller's Tax Division.	Agricultural Commissioner/Weights and Measures	6 years from lien date for the tax year of which document was obtained	Cal. Rev & Tax 465	
AWM-470	Weed Abatement Mapbooks	Maps, records of inspections, records of clearance, parcel activity worksheets, and maps of parcels.	Agricultural Commissioner/Weights and Measures	Permanent		

Agricultural Commissioner/Weights and Measures (AWM) Version 0 12/2/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
AWM-480	Weed Abatement Records	Contains letters to and from schools, government agencies, property owners and tax payers. Includes: Letters of authorization (LOA), owner's request, weed abatement notice files, weed brush letters, tax complaints, investigation requests, weed abatement vendor proof of insurance, inspector's requests, and weed abatement square footage reports and parcel records.	Agricultural Commissioner/Weights and Measures	2 years or until investigation completed	Cal Gov Code 26202	Vital

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Los Angeles County Records Retention Schedule

Board of Supervisors (BOS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
BOS-010	Assessment Appeals Board Case Files	Includes: Applications, Board hearing minutes, hearing exhibits, substitution of agent authorizations, hearing officer motion sheets, findings, decisions, and related records	Board of Supervisors	5 years after case is decided; 3 years after case is decided, **if** the records have been microfilmed, microfiched, imaged, or otherwise preserved on a medium that provides access to the documents, per CA Govt Code Section 25105	CA Govt Code Section 25105.5	
BOS-020	Board of Supervisors Meeting Records	Includes: Statements of Proceedings, minutes, exhibits, motions, orders, actions, ordinances, agreements, reports, correspondence, audio, video, tapes and disks, and related records	Board of Supervisors	Permanent	CA Govt Code Sections 25101, 25102, 25102.1, and 25105	
BOS-030	Board Papers and related correspondence	Includes: Correspondence, reports, requests, and other records received subsequent to Board action	Board of Supervisors	5 years		
BOS-040	Board Policies	Includes: Board approved policies	Board of Supervisors	Permanent		
BOS-050	Civil Service Case Files	Includes: Board hearing minutes, hearing exhibits, findings, decisions, and related records	Board of Supervisors	10 years after case decided		
BOS-060	Conflict of Interest Records	Includes: Statements of Economic Interest (Form 700), gift reporting (Form 801), agency report of new positions (Form 804), agency report of consultants (Form 805), and conflict of interest codes	Board of Supervisors	7 years	CA Govt Code Section 81009	
BOS-070	County Commissions, Committees and Task Force Records	Includes: Agendas, minutes, meeting notes, hearing records, transcripts, policies and procedures, correspondence, constitute forms and requests for assistance, reports, member lists, audio, video tapes and disks, and related records	Board of Supervisors	5 years unless another law or authority requires a longer retention period; 10 years: Audio, video tapes and disks		
BOS-080	Employee Relations Commission (ERCOM) Case Files	Includes: Unfair labor practices charges, certifications, petitions, arbitrations, transcripts, awards, correspondence, decisions, and related records	Board of Supervisors	10 years after award or final decision made		

Board of Supervisors (BOS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
BOS-090	Lobbyist Quarterly Reports	Quarterly filing reports submitted by lobbyist	Board of Supervisors	5 years from date filed	There are no statutes requiring a specific retention period for lobbyist records	
BOS-100	Lobbyist Registrations and Amendments	Includes: Registration, renewals, complaints, correspondence, and related records	Board of Supervisors	5 years after termination of registration	There are no statutes requiring a specific retention period for lobbyist records	
BOS-110	County Intake Specialist Unit's County Policy of Equity initial investigation	Contains correspondence, Report Notification Forms, investigation records, assessments, and related records	Board of Supervisors	10 years	CA Government Code Section 12946; and 29 CFR Section 1602.14	
BOS-120	County Equity Oversight Panel (CEOP) Briefing Agendas and Recommendation Memos	CEOP Briefing Agendas. Documentation of the recommendations of the County Equity Oversight Panel for those investigations briefed by the CEOP.	Board of Supervisors	10 years	CA Government Code Section 12946; and 29 CFR Section 1602.14	
BOS-130	Children's Special Investigation Unit (CSIU): Client Papers and Property	Correspondence, pleadings, deposition transcripts, exhibits, physical evidence, expert's reports and other items reasonably necessary to the client's representation. Reports, recommendations, memoranda and written materials produced	Board of Supervisors	Permanent: Files and reports concerning cases which have or may have a major impact to County and department operations	CA State Bar: Rules of Professional Conduct - Rule 3 - 700	
BOS-140	CSIU: Materials received pursuant to the 2011 Memorandum of Understanding between CSIU and County Departments		Board of Supervisors	Maintained in accordance with the individual departments' retention policy		

Los Angeles County Records Retention Schedule

Chief Executive Office (CEO) Version 1 11/14/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-010	Annual Reports	Contains annual narrative and statistical reports issued by the Board of Supervisors or department heads. Includes: Information and graphics concerning operations for the year covered, including policies, procedures, plans, activities, accomplishments and directions.	Public Affairs	Permanent		Historical and vital Information .
CEO-020	Asbestos Abatement Projects Records	Includes: Project data sheets projects, laboratory results, 1980 survey data of County buildings, asbestos regulations, memoranda, reports, and related records.	Risk Management; Loss Control & Prevention	Permanent	29 CFR 1910.1001(m)(1)(iii); 29 CFR 1910.1001(m)(3)(iii); 29 CFR 1910.1001(m)(2)(iii); 29 CFR 1910.1020; 17 CCR 93105	
CEO-030	Audio/Visual and Telecom Contracts	Includes: Contract, amendments, invoices, related correspondence, and related records.	IGEA/Cable and Telecomm	5 years after contract ends	Cal Code of Civil Procedure 337	
CEO-040	Budget: Final and Adopted	Contains agency's approved annual budget (budget book) and its amendments which have been approved by the Board of Supervisors.	Budget Units/Budget Dev/Finance	Permanent		
CEO-050	Budget: Preliminary Budget Records	Includes: Work papers, cost analysis, current financial status, estimates of revenues or expenditures, budget charts, narrative of services, plan of proposed outlays, staff analysis, drafts, budget requests, budget hearing, budget review file, budget deliberations, analyst instructions, and supporting documentation relating to development, modification and implementation of final approved budget.	Budget Units/Budget Dev/Finance	5 years after budget adopted		
CEO-060	Budget: Status Reports	Contains status of budget-to-actual comparisons and budget to estimated expenditures and revenues in relation to allocation, receipts, expenditures, encumbrances and unencumbered funds.	Budget Units/Budget Dev/Finance	5 years after budget year ends		
CEO-070	Cable and Franchise Agreements Records	Includes: Agreements, ordinances, amendments, bonding, non-compliance notifications, settlements, audit reports, legally required notices, insurance documentation, certificates, bonds, letters of credit, franchise fee payments, subscriber statistical reports, programming and services reports, rate listings, notifications, construction undertaken and completed records, maps, corporate structure information, certification of statements, subscriber complaints, and related records.	IGEA/Cable and Telecomm	10 years: Audit Reports; 5 years from end of agreement: All other records	Cal Code of Civil Procedure 337	

Chief Executive Office (CEO) Version 1 11/14/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-080	California Occupational Safety & Health Administration (Cal OSHA) Records	Includes: Form 300 injury/illness logs, injury reports, committee meeting minutes and agendas, state notice of public hearings, brochures, inspection reports, and related records.	Risk Management -- Loss Control & Prevention	5 years	29 CFR 1904.33; 8 CCR 14300.44; 8 CCR 14300.33	
CEO-090	Capital Projects Debt Financing Records	Includes: Debt leases, debt management documents, official statements, trustee statements, final pricing documents, and related records.	Capital Projects	5 years after debt paid off		
CEO-100	Capital Projects Files	Includes: Memoranda of understandings, as-built construction drawings, construction and contract specifications, resolutions, Board letters and motions, space plans, narratives, budget revisions, fee schedules, permits, invoices, progress tracking reports, surveys, change orders, change reports, correspondence, and related records.	Capital Projects	3 years after disposition of property or equipment: Records of real property and equipment acquired under a federal grant; 3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken: All others. **Note:** Department Counsel approval needed before disposing of records	OMB Circulars A-87, A-102, and A-133	
CEO-110	Code Enforcement Files	Includes: Memos and emails related to code enforcement service requests to Regional Planning and Public Works, correspondence, meeting minutes, responses, and supporting records	Department of Public Works and Department of Regional Planning	5 years		
CEO-120	Community Redevelopment Records	Contains documents relating to negotiation, fulfillment, and termination of real property improvements to which the agency is a party. Includes: Current ground leases, contracts or agreements with architects, engineers, builders, and construction companies, amendments, environmental impact reports, Board correspondence, delegated authority agreements, revenue documentation, invoice documentation, and audit reports.	Unincorporated Area Services	5 years after property disposed of		

Chief Executive Office (CEO) Version 1 11/14/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-130	Consular and Foreign Visit Records	Includes: Consular Corps rosters, consulate notifications, information sheets on visitors and subjects to be discussed, information on events and locations, security detail, records of gifts given, and related records.	IGEA/Protocol	3 years		
CEO-140	Consulate Identification Cards	Includes: Board reports, correspondence with consulates on card acceptance, training materials, and related records.	IGEA/Protocol	Permanent		
CEO-150	County Building Security Audits and Assessments	Includes: Security audits and assessments.	Office of Security Management	10 years		
CEO-160	County Cable and Radio Program Tapes and Discs	Contains audio and video tapes and discs of programs produced by, for, or about County departments events, services, programs, or projects of interest.	IGEA/Cable and Telecomm	Permanent : Programs documenting key County events, services, and programs; 10 years: All others		Test and evaluate annually for migration to preserve contents for entire retention period.
CEO-170	County Census Effort Records	Includes: Correspondence, plans regarding census outreach, census tract information, and related records.	SP&SP -- Strategic Initiatives	11 years		
CEO-180	County Executive Vehicle Records	Includes: Memoranda regarding allowances, vehicle requisition orders, executive vehicles lease agreements, county vehicle policies, and related information.	Strategic Planning and Special Projects Division	Permanent: Policies; 5 years after disposition of vehicle: All other records		
CEO-190	County Strategic Plan (CSP) Records	Includes: Board letters, strategic plans adopted, meeting summaries of interdepartmental implementation groups, conference reports, plan revisions, agreements, and related records.	SP&SP -- Strategic Initiatives	Permanent		
CEO-200	Countywide Contracting Program Records.	Contains provisions and policies concerning Procedures/Debarment, Living Wage, and various other County contracting programs. Includes: Board letters and memoranda, agendas and summaries for hearings and meetings, audiotapes of meetings and hearings, procedures, program monitoring, and related records.	Strategic Planning and Special Projects Division	Permanent		
CEO-210	Countywide Intergrated Radio System (CWIRS) Records	Contains records concerning the radio system that provides interopearability between cities, County departments and non-profits organizations. Includes: Operating licenses, agreements, network techical specifications, equipment maintanence, operations and other reports, correspondence, and related records.	Office of Emergency Management	Until system is discontinued: Licenses, agreements, and technical specifications; 5 years: All others		

Chief Executive Office (CEO) Version 1 11/14/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-220	Courthouse Transfer Records	Contains document pertaining to the transfer of responsibilities and title of 50 County courthouses and other court facilities to the State of California. Includes: Contract, contract amendments, records documenting existing conditions/contracts, Board letters and minutes, floor plans, financial calculations for payments, equipment permits, quitclaim deeds, CEQA notices, copies of construction, compliance, environmental documents, and related records.	Finance and Asset Management/Asset Planning and Strategy	Permanent		
CEO-230	Data Integration and Research Evaluation Projects	Includes: Project agreements, timelines, evaluation methods utilized, fields and tables utilized, frequency of data downloads, reports, billable hours, invoices, correspondence, and related records.	Service Integration Branch	5 years after project ends		Confidential
CEO-240	Deferred Compensation, Income, and Retirement Plans	Includes: Plans, amendments, correspondence, board letters, reports, and related records	Classification and Compensation	5 years after plan ends		
CEO-250	Dialogic Notification System Records	Contains records concering the automated notification system. Includes: Annual service maintenance contracts, software updates, general training, activity announcements, and related records.	Office of Emergency Management	5 years after system discontinued		Notification System has an Annual Service Maintenance Contract. Software is updated as needed. Contract renewed on an ongoing basis. System is used until discontinued
CEO-260	Disaster Preparedness Drills & Training Exercises Records	Includes: Results, evaluations and analyses, training certificates, workshop agendas and materials, training forms, reports, print-outs, and related records.	Office of Emergency Management	5 years after review takes place		
CEO-270	Disaster Preparedness/Recovery Plan Records	Contains plans adopted by County. Includes: Disaster polices and procedures, tsunami maps for costal areas, service agreements for County Emergency Operations Center, vendor and supplier information, list of disabled employees needing assistance, manuals, evacuation plans, committee meeting minutes, emergency planning and outreach meeting minutes, employee assistance program materials, equipment master inventory, and records.	Office of Emergency Management	Permanent: Plans, committee minutes, policies and procedures, and manuals; 5 years after expiration: Service agreements; 5 years: All other records		

Chief Executive Office (CEO) Version 1 11/14/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-280	Disaster Relief Records	Contains documentation related to the distribution, receipt, expenditure, and reimbursement of disaster relief funds through the public assistance, including the Grant Acceleration Program (GAP)), Fire Management Assistance Grant (FMAG) Programs and the Emergency Management Agency Compact (EMAC) - Hurricane Katrina deployment program. Includes: Damage survey reports (DSR), project worksheets (PW), plans to repair damaged facilities, roads, water systems, agreements and contracts with vendors, expenditure reports, progress reports, meeting minutes, payroll records, billing statements, purchases, invoices, canceled checks, daily activity reports, correspondence, and related documents.	Disaster Administrative Services	3 years from the date of the final expenditure report or Audit/Waiver Letter, involving the records related to a declared disaster. **Note:** (1) Department Counsel approval needed before disposing of records.	44 CFR 13.42; OMB Circulars A-87, A-102, and A-133	See 44CFR 13.42 (b) (2) for special action involving records, i.e. litigation, claims ietc.
CEO-290	Emergency Response Files	Contains records documenting an agency's response to a disaster/emergency. Includes: Personnel injury report, property damage assessment reports, emergency operations center reports, after actions report, proclamations, mutual aid information, disaster declarations relating to all disasters, photographs, new clippings, correspondence, and related documents.	Office of Emergency Management	10 years		
CEO-300	Employee Assistance Counseling and Psychological Program Evaluation Records	Includes: Interview notes, medical records, performance evaluations, psycological evaluations, and related records.	Risk Management -- Occupational Health Programs	7 years after employee leaves service		Confidential
CEO-310	Employee Assistance Programs -- Incomplete Evaluations and Appeals	Includes: Interview notes of employee or applicant, supporting documents from referring department which may include medical records, performance evaluations, and related records.	Risk Management -- Occupational Health Programs	2 years		Vital and Confidential records
CEO-320	Employee Classification Studies	Contains list, back-up material, and reports indicating salary classification/range for each position or pay grade in an agency. Includes: Class study requests submitted by other departments, questionnaires, union files, correspondence, and recommendations.	Classification and Compensation	5 years		
CEO-330	Employee Commute Reduction Program-Rideshare Program Files	Contains documents regarding the employee commute reduction program for regulated sites are sites that have 250 or more employees at that site. Includes: Annual plans which are submitted to South Coast Air Quality Management District (SCAQMD), memos, monitoring reports, progress reports, bi-monthly newsletter, correspondence, and related information.	Workplace Programs	3 years	South Coast Air Quality Management District Rule 2202	
CEO-340	Employee Compensation Salary and Pay Practices Records	Includes: Pay plans, supporting documentation for changes in salary, bargaining unit, pay plan, specification, class specifications, Board letters, ordinances, and salary squibs, benchmarks, and policies and procedures developed by Compensation Policy Division.	Classification and Compensation	Permanent	29 CFR 516(b); 29 CFR 516.6(a)	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-350	Employee Exposure Records	Contains records documenting the exposure or possible exposure of an employee to a blood borne pathogen, contagion, radiation, or chemicals above the acceptable limits or dosage. Includes: Statistical analyses, incident reports, material safety data sheets, laboratory analytical reports, analytical data sheets, copies of medical records or reports, risk management assessments, and other supporting documentation demonstrating the possibility of exposure.	Risk Management -- Loss Control & Prevention	30 years after leaving service	8 CCR 5193; 29 CFR1910.1020; 29 CFR1910.1030; 8 CCR 3204	
CEO-360	Employee Medical Examination Records	Includes: Safety, non-safety, and Cal-OSHA required medical examinations.	Risk Management -- Occupational Health Programs	2 to 30 years		Confidential
CEO-370	Facility, Oil, Gas, and other Leasing Records	Contains financial and leasing documents from the lease approval to termination period. Includes: Agreement/lease, former lease, draft leases, lease proposals, amendments, lease offers, rent commencement documents, title report, tax payment information, base rent schedule, payment vouchers, vendor's information, invoices, payment history, and related records, appraisal, lessor and County insurance certificates, related correspondence, and all records related to tenant improvement projects, and construction budgets.	Capital Projects, Real Estate Division (Property Management)	10 years after completion or termination of lease	Cal Code of Civil Procedure 337	
CEO-380	Gann Appropriation Limit Records	Contains records showing the calculations for annual appropriations of tax proceeds for municipal governments	BFERCC/Budget Development/ Finance	Permanent		
CEO-390	Illegal Signage Complaint Responses	Includes: Complaints, correspondence, meeting minutes, responses, and supporting records.	Unincorporated Area Services	5 years		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-400	Homeland Security Grants Records	Contains all documentation related to the distribution, receipt, or expenditure, reimbursement of County funds by the State and/or Federal government Homeland Security Grants Programs. These records include: grant applications, request for reimbursement, grant modifications request, agreements/contracts with vendors, expenditure reports, progress reports, meeting minutes, payroll records, billing statements, purchases, invoices, canceled checks, daily activity reports, and correspondence and related documents.	Disaster Administrative Services	3 years after disposition of property or equipment: Records of real property and equipment acquired under a federal grant; 3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken: All others. Note: Department Counsel approval needed before disposing of records	OMB Circulars A-87 and A-102	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-410	Homeless Program Records	Includes: Board motions, agreements, performance reports, client files, client reports, invoices, fiscal reports, correspondence, and related records.	Service Integration Branch	Notwithstanding any other provision of law, every contract involving the expenditure of public funds entered into by the county shall be subject to the examination and audit of the State Auditor if in excess of $10,000, and also may be subject to civil litigation. Therefore, records shall be kept for a period of four years after final payment under the contract or until all litigation, claims or audit findings involving the records already started have been resolved and final action taken.	Cal. Gov. Code section 8546.7 and Civil Procedure Code section 337	Some records may be Confidential
CEO-420	Insurance and Annuity Policies and Certificate Records	Contains policies for fire, theft, liability, medical, life, annuity, and others. Includes: Policies certificates, claim filing information, applications, correspondence, documentation of premiums due, amounts paid, carrier rates, information on carries, and correspondence.	Risk Management -- Operations	Liability, Life, Medical, and Annuity: Permanent; 5 years after policy/certificate ends: All others		
CEO-430	Labor Relations Collective Bargaining Records	Includes: Agreements, memos of understanding, board letters, negotiation documents, correspondence, and related records.	Employee Relations	Permanent		Vital
CEO-440	Land Use Records	Includes: Subdivision maps, environmental impact reports, conditional use permits, code enforcement issues, and other requests for comments.	Unincorporated Area Services	10 years		
CEO-450	Long-Term/Short-Term Disability Plans and Case Files	Includes: Plans, amendments, correspondence, board letters, reports, claims against, claim resolution, and related records	Risk Management -- Operations	5 years after plan ends		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-460	Municipal and Special District Boundary Change Records	Contains approved and disapproved annexations, incorporations, sphere of influence, reorganizations, and detachments records. Includes: Board letters, joint resolutions, fiscal date, departmental analyses, boundary change proposals, environmental documentation, petitions, notices, boundary maps, correspondence, and supporting records.	Unincorporated Area Services	Permanent		
CEO-470	Office of Child Care Program Records	Includes: Board actions, grant submissions and records, contract records, correspondence, program notes, invoices, expenditure documentation, performance reports, and related information.	Service Integration Branch	7 years after issuance of audit report unless notified in writing to extend the retention period.	Cal. Business and Professions Code Section 5097, Cal. Educ Code 33420	Some records may be Confidential
CEO-480	Property Acquisition and Sales Files	Contains records for active, unsold, sold, and acquired properties. Includes: appraisals, deeds, sales agreements, permits, property reports, correspondence, and related records	Unincorporated Area Services	Permanent		
CEO-490	Purchase Option Files	Contains master file for property acquired by exercise of purchase options. Includes: Legal description, title report, appraisal, asbestos clearance, structural clearance, appraisal, escrow Instructions, an original or copy of the Board letters, notice of intention/publishing instructions, preliminary and final title reports, recorded deeds, and notices to the City Clerk, Planning Agency, and Board Office.	Real Estate Division (Space)	Permanent		
CEO-500	Real Estate Management Commission (REMC) Packages	Contains commission packages which are prepared for presentation to the Commission (REMC). Includes: Photos, draft Board letter, lease, lease analysis summary, lease fact sheet, comparables sheet, appraisal title report, and confidential memo to the Commission explaining the negotiation process.	Real Estate Division (Space)	5 years after the lease is terminated		
CEO-510	Revenue Enhancement Programs -- Federal Reimbursement Files	Includes: Board action, invoices, claim plans, program handbooks, program notes, training files, meeting minutes, agendas and correspondence, and related records.	Service Integration Branch	Permanent	OMB Circulars A-87, A-102, and A-133	Some records may be Confidential -- Documents should be retained for a period consistent with the retention of other department real estate records.

Chief Executive Office (CEO) Version 1 11/14/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-520	Risk Management Plans	Contains regulated facilities, business, and County plans to deal with an emergency situation such as a chemical release, fire, earthquake, and process malfunction. Includes: Name and address of business, amounts and location of chemical inventories, plans to minimize the risk of chemical release, form 208, type and location of emergency equipment, equipment modification, evacuation and emergency notification procedures, response procedures, blue prints, ventilation schematics, emergency contacts, plan review, training requirements, and other contingency plan information.	Risk Management -- Loss Control & Prevention	Permanent		
CEO-530	Space Assignment Records	Contains records of the official tenancy by occupants) (County department, County-affiliated agency, or non-County agency). Includes: Gross and net square footage occupied, percentage of building occupied by each tenant, building drawings, number of parking spaces, design of office space, billing codes, effective date of change, breaks down occupancy by lease in the case of multiple leases, and documents that triggered the new space assignment notice.	Real Estate Division (Space)	10 years after superseded	Cal Code of Civil Procedure 337	
CEO-540	Special Event and Concessionaire Use Records	Includes: Applications, permits, concession agreements, correspondence, and supporting records to support the use of County-owned facilities and locations.	Real Estate (Property Management)	10 years after permit/agreement ends		
CEO-550	Sunset Review Files	Includes: Board of Supervisors meeting minutes approving sunset reviews, letters from Audit Committee recommending extensions, organization self-evaluations and copies of QPC documents summarizing activities such as posters, attendance, calendars, agendas, definitions and guidelines, Brown Act documents, and related records.	SP&SP -- Quality and Productivity Commission	Permanent		Historical and vital Information
CEO-560	Supervisorial Re-Districting Records	Includes: Board letters and memoranda establishing process, public participation correspondence and materials, boundary review committee materials, recommended and approved plans, and related records.	SP&SP Strategic Initiatives	Permanent		
CEO-570	Uninsured Losses	Contains vouchers and other records to reimburse uninsured loss accounts.	Liability and Small Claims Unit	5 years after issuance		
CEO-580	Worker's Compensation Case Files	Contains employee injuries or illness where a Worker's Compensation claim has been made. Includes: First report of injury forms, Occupations Safety and Health Administration (OSHA) form 300 and 300A, medical coverage, time loss, medical exams, action taken, basis for future claims, and correspondence.	Risk Management -- Workers' Compensation	10 years after claim closed	29 CFR 1904.33	

Chief Executive Office (CEO) Version 1 11/14/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CEO-590	Workers Compensation Records	Includes: Audit reports, work papers, log and summary of work-related injuries and illnesses, injury and illness incident reports, California State forms, annual reports, monitoring reports, third party administrator contracts, amendments, and claims review records.	Risk Management -- Workers' Compensation	10 years: Audit Reports; 5 years: All other records	29 CFR 1904.33	
CEO-600	County Building Barrier Evaluation and American with Disabilities Act (ADA) Transition Plans	Includes: Date, department, location, assessment for barrier removal, timelines, and related information.	CEO/Affirmative Action Compliance	1 year after building is no longer used		
CEO-610	New Facilities and ADA Modifications Records	Contains blueprint and technical reviews and inspections to remove possible barriers from new County buildings and facilities. Includes location, evaluations, actions taken, and related information.	CEO/Affirmative Action Compliance	1 year after building is no longer used		

Los Angeles County Records Retention Schedule

Children and Family Services (CFS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CFS-010	Adoption and Safe Families' Act (ASFA) Case Files	Contains records related to the assessing and approving the homes. Includes: Livescan data, Child Abuse Central Index (CACI) reports, site inspection report, and related documentation.	Children and Family Services	At least 3 years after the home is no longer being used, and, in cases where federal funds were used, the records must be kept longer in order to comply with the federal record retention period which can be found at 45 C.F.R. 74.53.	All County Letter No. 03-55 dated 12/30/03 issued by State of California, Dept of Social Services	Confidential
CFS-020	Adoption Case Files	Contains records of open and closed adoption cases. Includes: pending adoption packets, prospective adoption parent files, termination of parental rights flies, communications, and other related documentation.	Children and Family Services	Permanent	22 CCR 89179, 89131, 89182 CA. Family Code 9200, 9201	Confidential Files must be locked
CFS-030	Adoption Index	Contains record of child/client information on open and closed adoption cases. Includes: Child's name and date of birth, case name and number, and date case opened and closed.	Children and Family Services	Permanent	22 CCR 89179, 89131, 89182 CA. Family Code 9200, 9201	
CFS-040	Child Abuse Central Index (CACI) Review Hearing Files	Contains all evidence and documentation concerning a Child Abuse Central Index (CACI) review hearing. Includes: Records of alleged child abuse, identifying data on child, emergency response control log, referrals, family assessment reports, home visit assessment, medical records, investigative records, court documents, response documents, and case summaries.	Children and Family Services	Permanent: Substantiated or conclusive reports; 10 years from the time the most recent report is received: Inconclusive or unsubstantiated report or 3 years after the home is no longer used, whichever is longer.	Cal. Dept. of Soc. Svcs. Man. Of Pol. & Proc. 31-021.86; Pen. Code 11169, 11170, ACL 03-55.	Confidential

Children and Family Services (CFS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CFS-050	Child Care Eligibility Case Files	Contains case files of eligible families receiving childcare through the Department's Child Care Assistance Program, which is funded by the California Department of Education. Childcare provided while parents or caregivers take a parenting class, attend counseling or other departmental activities. Includes Child Care Provider licensing information, family background worksheets, referral from agencies, correspondence and related information.	Children and Family Services	5 years after case closed.		Confidential
CFS-060	Child Welfare Services Case Record	Contains records generated from the referral to close of a client's case. Includes: Background check, search records, education records, child abuse investigative reports, medical records, court documents, emergency assistance records, intake referral, screening records, juvenile case files, placement records, and related documentation.	Children and Family Services	Permanent; Those records which relate to substantiated reports of child abuse, shall be permanently retained, unless the records must be destroyed to comply with the law. All other records shall be retained for 10 years from the time the case file is closed, unless the records must be destroyed to comply with the law. (Remember that there are provisions in the law which allow the court to seal case records and require their destruction; consequently, when that occurs, these records will need to be destroyed to the extent required to conform with the law.)	Department of Children and Family Services (DCFS) Policy Procedural Guide 1200-500.90 Model Case Format issued 08/14/08; Cal Penal Code 11169; Cal Penal Code 11170; 45 CFR 74.53; Welf. & Inst. Code 389.	Confidential
CFS-070	Critical Incident/Child Fatality Review File	Contains documentation regarding the review of a critical incident and child fatality. Includes: Critical Injury Report, investigation documents and related information.	Children and Family Services	Permanent		

Children and Family Services (CFS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CFS-080	Foster Care Facility Record	Contains documents of facilities and families that provide care to children who are in the custody of Children and Family Services. Includes: applications, background checks, Live Scan records, home study reports, proof of training, copies of license, and related correspondence.	Children and Family Services	3 years after foster care facility is closed.	45 CFR § 74.53	Confidential
CFS-090	Group Home/Foster Family Agency Monitoring Review Files	Contains annual reviews, work papers and documentation, correspondence, and other records used to monitor compliance with agreements between the group home/foster family agency and Los Angeles County Department of Children and Family Services.	Children and Family Services	3 years after the Group Home/Foster Family Agency contract is terminated or not renewed.	45 CFR § 74.53	
CFS-100	Juvenile Court Services	Court calendars are used by the CSWs (known as court officers) to record DCFS recommendations and court orders. The calendars provide a condensed summary of the hearing results and all court related activities performed by the court officer. The calendar is used to provide regional CSWs with immediate results of hearing, special orders, and adverse decisions.	Children and Family Services	2 years		
CFS-110	Kinship Guardianship Assistance Payment Program (KINGAP) Files	Contains information for guardians receiving assistance payments. Includes: Applications, guardianship documents, eligibility documents, Medi-Cal Eligibility Database System (MEDS) printouts, and court minute orders.	Children and Family Services	3 years from the last date of aid or services or from the last expenditure report on a case, whichever is later, but subject to longer retention periods as defined in 45 CFR 74.53 and MPP 23-353.	45 CFR 74.53, California Manual of Policies and Procedures 23-353, and ACL 06-33	
CFS-120	MacLaren-Children's Center (MCC) Records	Contains documentation of operations at the MacLaren Children's Center. Includes: Field visits, case files for youths housed there, budget records, audit files, reports, correspondence, and related records.	Children and Family Services	Permanent	45 CFR 74.53, California Manual of Policies and Procedures 23-353, and ACL 06-33	
CFS-130	Public Assistance Eligibility Case Files	Contains documentation used to determine eligibility for public assistance program funding for foster care placement and payment. Includes: Applications, eligibility requirements, services requested and related documentation.	Children and Family Services	3 years from the last date of aid or services or from the last expenditure report on a case, whichever is later, but subject to longer retention periods as defined in 45 CFR 74.53 and MPP 23-353.	45 CFR 74.53, California Manual of Policies and Procedures 23-353, and ACL 06-33	

Children and Family Services (CFS) Version 0 10/29/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CFS-140	Recordings of Routine Video Monitoring	Video recording by a video or electronic imaging system designed to record regular and ongoing operations. Includes: • Mobile in-car video systems • Office observation and monitoring systems • Building security recording systems	Children and Family Services	1 year	GC 26202.6	
CFS-150	Recordings of Telephone and Radio Communications	Routine daily recordings of telephone communications and all radio communications relating to operations of the Department	Children and Family Services	100 days	GC 26202.6(a)	

Los Angeles County Records Retention Schedule

Chief Information Office (CIO) Version 0 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CIO-010	Board Information Technology Support Services Master Agreement (ITSSMA) Notification Memos	Contains memos from departments for required notifications to the Board regarding the Information Technology Support Services Master Agreement (ITSSMA).	Chief Information Office	5 years after the agreement expires		Business use and any audits conducted on the agreement.
CIO-020	Business Automation Plan Records	Contains department business automation plans, CIO recommendation letters, and related records.	Chief Information Office	5 years		Business use.
CIO-030	CIO Analyses for Board Letters	Contains CIO analyses for each Information Technology (IT)-related Board Letter, a summary of the Board Letter, and additional items related to the Board Letter, including subject agreements, prior agreements, and records used in the contract renewal review process.	Chief Information Office	5 years		Business use and any audits conducted on the agreement.
CIO-040	Departmental Information Technology Accomplishment Reports	Contains reports, correspondence, and related records documenting department accomplishments on an annual basis.	Chief Information Office	5 years		Business use.
CIO-050	Enterprise Licensing and Service Agreements	Contains agreements, correspondence, amendments, and related records with vendors and suppliers.	Chief Information Office	5 years after the agreement expires		Business use and any audits conducted on the agreement.
CIO-060	Integrated Business Automation Plan Reports	Contains CIO annual reports of department business automation plans, CIO prepared integrated business automation plan reports, and related records.	Chief Information Office	5 years		Business use.
CIO-070	CIO Information Technology Fund (ITF) Proposals	Contains successful and unsuccessful proposals from departments for funds from CIO Information Technology Fund (ITF). Includes: proposals, correspondence, and related records.	Chief Information Office	10 years after the completion of the ITF project or rejection of all ITF proposals		Business use and any audits conducted on the Information Technology Fund (ITF).

Los Angeles County Records Retention Schedule

County Counsel (COC) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
COC-010	Billing Rates	Includes: Cost applications and related records.	County Counsel	5 years		Confidential
COC-020	County Department Advisement Files	Contains records regarding counsel advisement activities to County departments. Includes: Correspondence, legal opinions, legal billings, interagency agreements, legal services staffing, invoices, subject matters files, advisory files, contracts, and related records.	County Counsel	Permanent: Files concerning matters which have or may have a major impact on County and department operations; 10 years after matter resolved and no further action taken: All other files		Confidential
COC-030	County Department Case Files	Contains hearings, claims, civil, criminal and other legal proceedings handled by County Counsel and outside counsel representing County departments. Includes: Briefs, arguments, motions, petitions, pleadings, Nunc Pro Tunc records, attorney notes, testimony transcripts, legal opinions, findings, court orders, appeals, correspondence, and related records.	County Counsel	Permanent: Files concerning cases which have or may have a major impact to County and department operations: 10 years after case closed and no further action taken All others		Confidential
COC-040	Dependency Ancillary Files	Contains records maintained by outstation and back-up attorneys relating to potential cases.	County Counsel	5 years from termination of last case in file	Welfare and Institutions Code 826(a)	Confidential
COC-050	Dependency Appellate Files	Includes: Court reporter and clerks transcripts, appellate briefs, motions, orders, and related records.	County Counsel	5 years from termination of last case in file	Welfare and Institutions Code 826(a)	Confidential

County Counsel (COC) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
COC-060	Dependency Record Requests	Contains records relating to Welfare and Institutions Code"section 827 petitions and requests for access for juvenile case files and DCFS records.	County Counsel	5 years from termination of last case in file	Welfare and Institutions Code 826(a)	Confidential
COC-070	Dependency Trial Case Files	Includes: Briefs, arguments, motions, petitions, pleadings, attorney notes, transcripts, orders, correspondence, and related records.	County Counsel	5 years from termination of last case in file	Welfare and Institutions Code 826(a)	Confidential
COC-080	Probate - Decedent Estates	Contains all legal documents generated or kept to process the estate. Includes: Petitions, pleadings, accounts, orders, requests for special notice, and correspondence.	County Counsel	5 years after final distribution		Confidential
COC-090	Probate - LPS Conservatorships	Contains all legal documents generated or kept to process the estate. Includes: Petitions, pleadings, accounts, orders, requests for special notice, and correspondence.	County Counsel	5 years after final discharge		Confidential
COC-100	Risk Management Information System (RMIS) Updates	Contains requests to update data in the RMIS system.	County Counsel	2 years		Confidential
COC-110	Workers' Compensation Litigation Files	Contains initial claims, injuries, settlements, appeals, and awards. Includes: Memorandum of award, claim review, medical records, notice of application representation, opening letter, status report to adjuster, order approving compromise and release, order to pay lien claimant, reports of conference, reports of hearing/deposition, amendments to stipulation of request award, and related records.	County Counsel	5 years after last closure of litigation file		Confidential

Los Angeles County Records Retention Schedule

Medical Examiner-Coroner (COR) Version 0 11/8/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
COR-010	Analytical Test Data Files	Consist of results from tests performed on decedents during the death investigation, including toxicology results, gunshot residue and tool mark analysis.	Coroner	Permanent		
COR-020	Autopsy Toxicology Logs	Includes: Specimens received, the date received, and who received them.	Coroner	Permanent		
COR-030	Chain of Custody Logs	Logs documenting chain of custody for toxicology specimens, evidence collected at scenes, scanning electron microscopy test results, and other items. Includes: Documentation of receipt of physical evidence, documentation of release or discard of physical evidence and by whom, and related information.	Coroner	Permanent		
COR-040	Child and Elder Abuse Reports	Contains forms filled out by Coroner staff and submitted to the proper agency for further investigation. Include: Name, date, description, and related information.	Coroner	Move to decedent's Coroner Case File		
COR-050	Convoy Operations Records	Consists of records collected during the course of the death investigation with respect to response at the scene and investigation, including log of vehicles deployed, log of staff assignment and deployment.	Coroner	5 years		
COR-060	Coroner Case Files	Contains all information records pertaining to each decedent and generated in the course of the death investigation. Includes: Autopsy report, investigation report, toxicology report, tool mark analysis, gun shot residue, decedent's photographs, outside agency photographs, x-rays, HIV test results, correspondence, copies of outside agency reports, and related records.	Coroner	Permanent		
COR-070	Coroner Case Files - Specimens	Includes: Partial skeletal remains, Histology slides, histology blocks, histology slides and other specimens.	Coroner	Permanent: Histology slides and skeletal remains documents; 10 years: Histology blocks; 4 years: Histology tissues; Permanent: Slides		
COR-080	Decedent Psychological Autopsy Reports	Contains psychological reports used to determine mode of death. Includes: Name, biographical data, medical data, and related information.	Coroner	Permanent		Confidential

Medical Examiner-Coroner (COR) Version 0 11/8/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
COR-090	Decedent Services Unit Logs	Consist of logs kept for various decedent services functions, including Law Enforcement Sign-in Log, Mortuary Sign-in Log, Daily Incoming Case Log, Supervisors Daily Activity Log, Mortuary Release Log (tracking of mortuaries picking up decedents), Decedent Body Count Log (log keeping track of daily decedents in the facility), Incoming Photo Log, Drivers Daily Log (log tracking mortuary attendants assigned to pick up decedents). Includes: Agency name, coroner case number, supervisor's name and signature, count of bodies in facility and photo count.	Coroner	10 years		
COR-100	Decedent Severe Acute Respiratory Syndrome (SARS) Reports	Includes: Includes: Name, biographical data, medical data, and related information.	Coroner	Permanent		Confidential
COR-110	Incoming Case Log	Contains log recording information on incoming calls reporting deaths and other matters that result in a case. Includes: Date, time, location, details, who reported, and related information.	Coroner	5 years		
COR-120	Inquest Reports	Contains transcripts of judicial inquests held to determine cause and manner of death. Includes: Date, location, decedent name, witnesses, testimony taken, and related information.	Coroner	Permanent		
COR-130	Laboratory Accreditation Records	Consist of records pertinent to the American Society of Crime Laboratory Directors (ASCLD) accreditation process, including witness critique forms, annual proficiencies, and corrective action forms.	Coroner	5 years		
COR-140	Laboratory Statistical Logs	Contains logs on laboratory tests performed on decedent specimens for quality assurance and for budgetary purposes. Includes: Toxicology cases received, toxicology analysis performed, gunshot residue kits received, gunshot residue cases analyzed, evidence cases received, and crime scenes responded to, and related records	Coroner	5 years		
COR-150	Mass Fatality Field Response Records	Contains information pertaining to the response to the scene and investigation of a mass fatality case. Includes: Personnel and resources deployed, incident records for skeletal recovery deployment, incident records, and related records.	Coroner	8 years		
COR-160	Non-Coroner Case (NCC) Clearance Files	Contains records of cases where Department has waived jurisdiction and assigns a clearance number identified on the death certificate. Includes: All internal reports, unofficial copy of the death certificate, and related records.	Coroner	Permanent		
COR-170	Operations Logs	Consist of logs kept for various operations functions, including: Drop Box Log (decedent personal property inventory drop box), King Control Radio Log (field communications), Supervisors Log (staff tracking), Volunteer/Intern Attendance Log. Includes: Field call information, coroner case number, hospital information, investigator assigned, and related information.	Coroner	5 years		
COR-180	Registered Nursing Reports	Includes: Date, name, investigation details, and related information.	Coroner	5 years		

Medical Examiner-Coroner (COR) Version 0 11/8/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
COR-190	Ride-A-Long Indemnification Forms	Contains forms required from each individual participating on a ride-a-long to a scene and in facility tours. Includes: Name, date, time, purpose, and related information.	Coroner	5 years		
COR-200	Special Operations Response Team (SORT) Log	Includes: Reporting agency, time of call, coroner case number, staff on team, response times, and related information.	Coroner	5 years		
COR-210	Youthful Drunk Driver Visitation Program	Contains records for program organized for court referred offenders of felonies such as DUI (driving under the influence of alcohol), etc. Includes: tally sheets, registration logs, registrant information and indemnification form.	Coroner	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	

Los Angeles County Records Retention Schedule

Child Support Services (CSS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
CSS-010	Calendar Log	Includes: Number of cases scheduled in the Central Civil West courtrooms and the number of cases that go to hearing, reach stipulations, are continued, or go off calendar.	Child Support Services	5 years	County Board Policy 3.040	
CSS-020	Lost Check Claim Files	Contains lost checks that have been received, processed, and sent to the State for processing.	Child Support Services	5 years	County Board Policy 3.040	Vital and Confidential
CSS-030	State Hearing Office Case Files	Includes: Complaints, response statements, notices, documents related to legal positions, preliminary hearing orders, position statements, and State Hearing Office decisions and orders.	Child Support Services	3 years after decision/final order issued	22 CCR 120219	Vital and Confidential

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Los Angeles County Records Retention Schedule

District Attorneys Office (DA) Version 0 11/19/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DA-010	Bad Check Program Files	Includes: Accounting documents, payment schedules, police reports, contract documents, bank statements, affidivits, correspondence, andr related records.	District Attorney	5 years after case closed		
DA-020	Criminal Case Declined Files	Contains cases investigated and formally declined for further action by the office. Includes: Police or Sheriff's reports, witnesses' statements, evidence gathered, investigation materials, and related records	District Attorney	5 years after case declined for further action		
DA-030	Criminal Case Files-Felonies	Includes: Police or Sheriff's reports, motions, affidavits, witnesses' statements, criminal records of defendants, working papers and notes developed by Prosecuting Attorney used in preparing the case for prosecution and other supporting documents relative to case.	District Attorney	25 years after case closed or permanent, depending on type of case	California Attorneys for Criminal Justice (CACJ) v County of Los Angeles-BC161572	
DA-040	Criminal Case Files-Misdemeanors	Includes: Police or Sheriff's reports, motions, affidavits, witnesses' statements, criminal records of defendants, working papers and notes developed by Prosecuting Attorney used in preparing the case for prosecution and other supporting documents relative to case.	District Attorney	5 years after case closed	California Attorneys for Criminal Justice (CACJ) v County of Los Angeles- BC161572	
DA-050	Deputy District Attorney Training Program Files	Includes: Mock trial topics, presentation materials, video tapes, and related records	District Attorney	5 years		
DA-060	Office Facility Location Files	Includes: Facility Profiles, floor plans, and related information documents.	District Attorney	Until location is no longer used by office		
DA-070	Office Staff Exam Files	Includes: Examinations, study materials, reports, correspondence, and related records.	District Attorney	5 years after examinations are closed		
DA-080	Open Investigation Case Files	Contains open cases under investigation by the office. Includes: Police or Sheriff's reports, witnesses' statements, evidence gathered, investigation materials, and related records	District Attorney	Review annually for continued retention or move to Criminal Case Declined Files		
DA-090	Victim Assistant Case Files	Includes: Victim profiles, witness testimony, investigation materials, and related records.	District Attorney	5 years after case closed		

Los Angeles County Records Retention Schedule

Beaches & Harbors (DBH) Version 0 3/4/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DBH-010	Marina Lease Documentation	Includes original lease, sub-leases, assignments, amendments, notice of defaults, estoppels, lease correspondence, memos, lease extension invitations, lease extension responses, and lessee/leasehold/parcel information.	Beaches and Harbors	Lease termination + 5 years		
DBH-020	Lease and Concession Agreement Negotiation Documentation	Includes confidential lease and concession agreement negotiation records for properties owned, controlled, or managed by the Department.	Beaches and Harbors	Completed leases: Move to Marina and Other Lease FilesAll Other Records: 5 years		
DBH-030	Lease and Concession Agreement Financial Records	Includes gross receipt reports, cash receipt reports, bills, invoices, reimbursements, security deposits, and insurance certificates.	Beaches and Harbors	Security deposits and insurance certificates: Until superseded, but no less than 2 years All other records: 5 years		
DBH-040	Leasehold Audit Reports	Includes leasehold/parcel audit reports and supporting documentation, work orders, status reports, invoices, and correspondence.	Beaches and Harbors	Audit completion + 10 years		
DBH-050	Beach and Marina Project Files	Includes beach and Marina studies, plans, proposals, reports, approved construction drawings, agreements, correspondence, financing, design, history, deeds, photographs, and parcel maps.	Beaches and Harbors	Permanent		
DBH-060	Environmental Studies and Reports	Includes historical Marina water quality reports, nest surveys, and sea level rise related reports and surveys.	Beaches and Harbors	Permanent		
DBH-070	Plans, Maps, and Aerials	Includes digital files of plans, maps and aerial imagery of Marina and beach locations and facilities.	Beaches and Harbors	Permanent		
DBH-080	Permits and Licenses	Includes special event, filming, beach and harbor use, park and right-of-entry permit/license documents, such as applications, payment/gross receipts, insurance, and correspondence.	Beaches and Harbors	Completion + 5 years		

Beaches & Harbors (DBH) Version 0 3/4/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DBH-090	Facilities and Program Tenant/Participant Information (i.e., RV Park and Chace Park transient dock patrons, WATER Program and Adventure Camp participants, Mastup Storage and Anchorage 47 tenants)	Includes tenant/participant applications, contracts, agreements, correspondence, financials, invoices, fees, and registration cards.	Beaches and Harbors	Completion + 5 years		
DBH-100	Concert Documents	Includes contracts, invoices, purchase quote requests, and budgets	Beaches and Harbors	Concert conclusion + 5 years		
DBH-110	Parking Section Documentation	Includes daily credit card transaction settlement reports, automated pay station merchant identification records, daily operational records/reports, parking passes, parking lot management contractor invoices, parking citations, contract monitoring reports and parking equipment maintenance records.	Beaches and Harbors	Parking equipment maintenance records: Equipment removal All other records: 5 years		

Los Angeles County Records Retention Schedule

Consumer Affairs (DCA) Version 0 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCA-010	Cable Television Franchising Files	Contains correspondence, procedures, services plans, agreements, reports, and related records	Consumer Affairs	5 years from the end of the agreement		
DCA-020	Community Development (CDBG), Community Services (CSBG) and Other Grant Records	Contains grants, correspondence, amendments, reports, ledgers, contracts, invoices, billing statements, cancelled checks, timecards, and related records.	Consumer Affairs	3 years after disposition: Records of real property and equipment acquired; 3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken: All others. **Note:** Department Counsel approval needed before disposing of records	OMB Circular A-110, Section 53 or the "Common Rule," Section 1157.42; OMB Circular A-133, Subpart C.320	
DCA-030	Consumer Complaints	File contains postcard notifications and correspondence that did not generate cases. Includes: name, address, date, matter, and related information.	Consumer Affairs	2 years after complaint received		
DCA-040	Consumer Services Files:	Consists of case files generated from department service groups, including consumer protection, dispute settlement, elder financial abuse, identity theft, real estate fraud, and others. Includes: Original complaint, correspondence, investigation reports and supporting documents, resolution documents, and related records	Consumer Affairs	5 years after case is closed		
DCA-050	Cy Pres - Griego Consumer Affairs Trust Fund Records	Contains records concerning *Griego v. Rent-a-Center, Inc, and* financial and other records pertaining to the trust fund established through the settlement of the case. The records include the settlement and agreement pursuant to the case, the Board letter accepting the settlement, and reports to the administrator.	Consumer Affairs	Permanent		

Los Angeles County Records Retention Schedule

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-010	Adult Protective Services and Elder Abuse Case Files	Includes: Complaints, investigation documentation, reports, and related correspondence.	Community and Senior Services	5 years after the specific grant award ends. 3 years from date of last service: Case file; 3 years after disposition: Records of real property and equipment acquired; 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All other records. Note: Department Counsel approval needed before disposing of any records	45 CFR 92.36 (i)(11); 45 CFR 92.42(b)(1), (c)(1); Welfare & Institutions Code section 10851(b); 45 CFR part 74.53 (b)	Confidential; For all records, if any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later.

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-020	Adult Protective Services Information Line Data	Includes: Client's name, address, and other personal information.	Community and Senior Services	5 years after the specific grant award ends. 3 years from last date of service. If any claims of litigation is commenced before the expiration of the three-year period, no portion of the case record of the person shall be destroyed until the action is terminated	Welfare & Institutions Code section 10851	Confidential

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-030	Adult Protective Services Program Data	Includes: Caseload information, agency invoices, and other records dealing with the program	Community and Senior Services	5 years after the specific grant award ends. 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 yrs after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-yr period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. Note: Department Counsel approval needed before disposing of any records	45 CFR 92.36 (i)(11); 45 CFR 92.42(b)(1), (c)(1), (c)(2); 45 CFR part 74.53 (b)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-040	Area Agency on Aging (AAA) Program Records	Includes: Requests for proposals. contracts, letters of agreements, directives, bulletins, contracts, monitoring reports, accounting records, invoices, agreements, reconciliation of the "Financial Closeout Report" to their audited financial statements, a summary worksheet of results from the audit resolutions performed for all subcontractors, supporting documentation, insurance documentation, memorandums and/or letters of understanding, patient or client records, and related program records.	Community and Senior Services	Until an audit has occured and an audit resolution has been issued (audit every 3 years). 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later.	45 CFR 92.36 (i)(11); 45 CFR 92.42(b)(1), (c)(1), (c)(2); 45 CFR part 74.53 (b)	Note: Department Counsel approval needed before disposing of any records. AAA requires contractors to maintain records for five (5) years according to the contract regulations in the Standard Terms and Condition: Record Retention and Inspection/Audit Settlement, which states (see below)

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	**RECORD TITLE**	**RECORD DESCRIPTION**	**RESPONSIBLE BUSINESS UNIT**	**RETENTION PERIOD**	**AUTHORITY CITATIONS**	**REMARKS**
DCSS-040 (continued)	Area Agency on Aging (AAA) Program Records	Includes: Requests for proposals. contracts, letters of agreements, directives, bulletins, contracts, monitoring reports, accounting records, invoices, agreements, reconciliation of the "Financial Closeout Report" to their audited financial statements, a summary worksheet of results from the audit resolutions performed for all subcontractors, supporting documentation, insurance documentation, memorandums and/or letters of understanding, patient or client records, and related program records.	Community and Senior Services	Contractor agrees that County, or its authorized representatives, the State of California, or its authorized representatives, and the Federal government, or its authorized representatives, shall have access to and the right to examine, audit, excerpt, copy, or transcribe …. All such material, including but not limited to all financial records…. Shall be kept and maintained by Contractor and shall be available to County, state, or federal authorities during the term of this contract and for a period of five (5) years after the expiration of the term of this Contract. If before the expiration of that time period, any litigation,	45 CFR 92.36 (i)(11); 45 CFR 92.42(b)(1), (c)(1), (c)(2); 45 CFR part 74.53 (b)	(cont. from left), claim, financial management review, or audit is started, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken."

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-050	Community and Senior Center Records	Includes: Statistical reports, photographs, event information, activities reports, and other related program and tenant agency records.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Department Counsel approval needed before disposing of any records	45 CFR 92.36 (i)(11); 45 CFR 92.42(b)(1), (c)(1), (c)(2)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-060	County State American Indian Block Grant (CSAIBG) Program Records	Includes Request for proposals, contracts awarded, invoices, compliance reports, and related records to monitor the program. financial records, supporting documents, statistical records, and all other records pertinent to an award.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Department Counsel approval needed before disposing of any records	45 CFR 92.36 (i)(11); 45 CFR 92.42(b)(1), (b)(2), (c)(1); 45 CFR part 74.53 (b)	
DCSS-070	Dispute Resolution Program Records	Includes: Directives, bulletins, contracts, invoices, RFPs, compliance and program monitoring reports, agency invoices and related program records.	Community and Senior Services	4 years after the expiration of the grant period	California Dispute Resolution Program Act (DRPA) article 4 section 3644	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	**RECORD TITLE**	**RECORD DESCRIPTION**	**RESPONSIBLE BUSINESS UNIT**	**RETENTION PERIOD**	**AUTHORITY CITATIONS**	**REMARKS**
DCSS-080	Domestic Violence Program Records	Contains: Directives, bulletins, contracts, invoices, RFPs, compliance and program monitoring reports, memoranda of understanding with DPSS, and related records.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Department Counsel approval needed before disposing of any records	45 CFR 92.42(b)(1), (c)(1), (c)(2)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-090	Emergency Food Shelter Program Records	Includes: Client files, food order slips, invoices, and related program records.	Community and Senior Services	5 years pertaining to each Fiscal year of ESG funds; 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 yrs after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-yr period, the records must be retained until completion and resolution of all issues, or until the regular 3-yr period, whichever is later. **Note:** Dept. Counsel approval needed before disposing of any records	24 CFR 85.42 (b), (c); 24 CFR 576.500; EFSP National Board manual –under section: "LRO Disaster Recovery Plan"	Confidential

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-100	Emergency Shelter/Taxi Voucher Case Files	Includes: Client's name, address, and other personal information.	Community and Senior Services	5 years pertaining to each Fiscal year of ESG funds. 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-yr period, the records must be retained until completion and resolution of all issues, or until the regular 3-yr period, whichever is later. **Note:** Dept. Counsel approval needed before disposing of any records	24 CFR 85.42 (b), (c); 24 CFR 576.500	Confidential

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-110	Emergency Shelter Program Records	Includes: Contracts, invoices, correspondence, reports, financial records, supporting documentations, statistical records, and related records.	Community and Senior Services	5 years pertaining to each Fiscal year of ESG funds; 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-yr period, the records must be retained until completion and resolution of all issues, or until the regular 3-yr period, whichever is later. **Note:** Dept. Counsel approval needed before disposing of any records	24 CFR 85.42 (b), (c); 24 CFR 576.500;	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-120	InfoVan Records	Includes: Contracts, agreements, financial statements, accounting records, insurance documentation, quarterly reports, event information, registration forms, and related program records.	Community and Senior Services	3 years from date of last service: Case file; 3 years after disposition: Records of real property and equipment acquired; 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All other records. For all records, if any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-yr period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Dept. Counsel approval needed before disposing of any records	45 CFR 92.42; Welfare & Institutions Code section 10851	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-130	Public Education Program Records	Includes: Posters, news articles, radio announcements, and related records.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Dept. Counsel approval needed before disposing of any records	45 CFR 92.42(b)(1), (c)(1)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-140	Santa Clarity Valley Services Center - Community Development Block Grant (CDBG) Program Records	Includes: Client files, time card records, financial records, records of procurement of goods and services, and related records.	Community and Senior Services	5 years after the expiration of the contract complete. 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. Note: Dept. Counsel approval needed before disposing of any records	45 CFR 92.42(b)(1), (c)(1)	
DCSS-150	Senior Center Event Records	Includes: Event description, speaker information, sign-up sheets, and related records.	Community and Senior Services	2 years		

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-160	Senior Community Service Employment (Title V) Program Records	Includes: Training history, evaluations, and requests for proposals. contracts, letters of agreements, directives, bulletins, contracts, monitoring reports, accounting records, invoices, agreements, reconciliation of the "Financial Closeout Report" to their audited financial statements, a summary worksheet of results from the audit resolutions performed for all subcontractors, supporting documentation, insurance documentation, memorandums and/or letters of understanding, patient or client records, and related program records.	Community and Senior Services	Until an audit has occured & an audit resolution has been issued (audit every 3 yrs). 3 yrs from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 yrs after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-yr period, the records must be retained until completion and resolution of all issues, or until the regular 3-yr period, whichever is later. Note: Dept. Counsel approval needed before disposing of any records	45 CFR 92.42(b)(1), (c)(1)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	**RECORD TITLE**	**RECORD DESCRIPTION**	**RESPONSIBLE BUSINESS UNIT**	**RETENTION PERIOD**	**AUTHORITY CITATIONS**	**REMARKS**
DCSS-170	Work Force Investment Act: Adult and Dislocated Worker Program Records	Includes: Directives, bulletins, contracts, invoices, monitoring reports, and related program records.	Community and Senior Services	3 years after from the date of final payment of the subgrant agreement. 3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. Note: Dept. Counsel approval needed before disposing of any records	29 CFR 95.53 (b); 29 CFR 97.42 (b)(c)(1), (2)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-180	Work Force Investment Act: Youth Program	Includes: Directives, bulletins, contracts, invoices, monitoring reports, and related program records.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later.	29 CFR 95.53 (b); 29 CFR 97.42 (b)(c)(1), (2)	Note: Dept. Counsel approval needed before disposing of any records

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-190	Workforce Investment Act: Rapid Response and National Emergency Grant (NEG) Records	Includes: Directives, bulletins, contracts, invoices, monitoring reports, and related program records.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Department Counsel approval needed before disposing of any records	29 CFR 95.53 (b); 29 CFR 97.42 (b)(c)(1), (2)	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	**RECORD TITLE**	**RECORD DESCRIPTION**	**RESPONSIBLE BUSINESS UNIT**	**RETENTION PERIOD**	**AUTHORITY CITATIONS**	**REMARKS**
DCSS-200	Workforce Investment Act Management Information Systems (MIS) Records	Includes: Client name, training dates, placement, and related information.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Department Counsel approval needed before disposing of any records	29 CFR 95.53 (b); 29 CFR 97.42 (b)(c)(1), (2)	Confidential

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DCSS-210	Workforce Investment Act Program Records	Includes: Board minutes, meeting agendas, bulletins, directives, contracts, monitoring reports, rapid response documentation, and related records.	Community and Senior Services	3 years from the day the grantee or subgrantee submits its last expenditure report or the day that the report would be due: All records except real property; 3 years after disposition: Records of real property and equipment acquired. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion and resolution of all issues, or until the regular 3-year period, whichever is later. **Note:** Department Counsel approval needed before disposing of any records	29 CFR 95.53 (b); 29 CFR 97.42 (b)(c)(1), (2)	
Ombudsman						
OM-010	Civilian Oversight of Law Enforcement Reports	Contains the annual reports from civilian oversight boards from throughout the United States. Includes date, location, statistics, and related information.	Ombudsman	Until superseded		
OM-020	Client Files	Includes: Complaint letter from client, or referral from Board Office, people contacted regarding complaint, complaint dates, times, Sheriff's investigations video and audio tapes, and the Ombudsman's findings that the review was sufficient/deficient. Sheriff's investigations were returned to Sheriff when case was closed.	Ombudsman	5 years after case is closed or resolved	Penal Code 832.5	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
OM-030	Deerings California Statutory Desktop Codes	Includes: Penal Code, Civil Codes of Procedure, Evidence Codes, and Vehicle Codes for the State of California.	County Clerk	Until superseded		
OM-040	Ombudsman Program and Policy Development File	Contains letters, memoranda, acknowledgements, and accompanying records created in administering department-specific programs.	Ombudsman	Permanent: Records impacting policies, practices, and operations and detailing important events; 5 years: All others		
Human Relations Commission						
HRC-010	Board of Supervisor and Executive Correspondence	Includes: Correspondence, executive summaries, and supporting records.	Human Relations Commission	Permanent: Records impacting department policies, practices, and operations or detailing important events; 5 years: All others	General Records Retention and Protection of Records Containing Personal and Confidential Information Los Angeles County Board Policy 3.040	
HRC-020	Conflict-Response Incident Reports & Resolution Agreements	Contains reports that document HRC's response to crisis and conflicts in the schools and communities and resolution agreements. Includes: descriptiOfte— conflict, date, location, and names of parties involved, who caused the conflict, assessment of the event, follow-up activities, resolution agreement, and other related information.	Human Relations Commission	10 years after resolution agreement expires	General Records Retention and Protection of Records Containing Personal and Confidential Information Los Angeles County Board Policy 3.040	Confidential There may be some pieces of information contained In these files that are confidential. However, many documents will not be confidential.
HRC-030	Contract. Records	Includes: request for proposals (RFPs), request for statement of qualifications (RFSQs); evaluation documents; service contract solicitations, contracts and agreements, amendments, correspondence, reference evaluations, and related records.	Human Relations Commission	5 years after contract expires		

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
HRC-040	Fundraising Documents Development Administrative	Contains correspondence, invoices and other paperwork related to fundraising activities, including grants, etc., exclusive of John Anson Ford Awards Event (JAF)	Human Relations Commission	5 years and audit completed	County Fiscal Manual 9.1.6	
HRC-050	Hate Crime Annual Reports	Contains annual summaries created from a database of Incident reports. Includes: Dates, names of Individuals, location of event, details, maps and related information.	Human Relations Commission	10 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	Database contains individual victims' names and other personal Identifiers
HRC-060	Hate Crime Incident Reports	Contains police other agency reports concerning potential hate crime incidents. Includes: Date, location, description, and related information.	Human Relations Commission	10 years	Los Angeles County Board Policy 3.040	Confidential unless victim or witness' information is contained in the document. Many reports are already redacted of confidential information. Note: If the victim or witness goes public (i.e., news media) the information is no longer confidential, it becomes a public record).

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
HRC-070	Hate Crime Victim Assistance Records	Contains incidents reported, summary reports, outreach efforts, and related Information.	Human Relations Commission	5 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	Confidential-certain victim Information may be confidential.
HRC-080	Human Relations Commission Meeting Records	Contains agendas and minutes.	Human Relations Commission	Permanent	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	
HRC-090	Human Relations Commission Program Records	Contains meeting agendas and minutes, outreach materials, training materials, program evaluation, reports, maps and related records.	Human Relations Commission	5 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	
HRC-100	Human Relations Commission Program Training Records	Contains training course materials on racial and cultural sensitivity issues, training rosters and evaluations.	Human Relations Commission	5 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	

Community and Senior Services (DCSS) & Ombudsman & Human Relations Commission Version 0 10/31/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
HRC-110	Human Relations Mutual Assistance Consortium	Contains meeting and historical program information between the county and cities.	Human Relations Commission	15 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	
HRC-120	Human Relations Organization Records	Contains Human Relations Foundation of Los Angeles, California Association of Human Relations Organizations, and other organization records in which the department facilitates operations. Includes: Meeting agendas, minutes, bylaws, budgets, reports, studies, presentations and other related records.	Human Relations Commission	5 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	
HRC-130	John Anson Ford Annual Awards Event Records	Contains invitations, RSVP cards, and event program.	Human Relations Commission	5 years	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	
HRC-140	Past/Present Commissioners Rosters	Includes: Date, name, position, and duration of service.	Human Relations Commission	Permanent	General Records Retention and Protection of Records Containing Personal and Confidential Information; Los Angeles County Board Policy 3.040	

Los Angeles County Records Retention Schedule

Human Resources (DHR) Version 2 3/25/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHR-010	Civil Service Advocacy: Employee Disciplinary Files	Contains records related to employee disciplinary actions before the County of Los Angeles Civil Service Commission. Includes: Disciplinary charge, investigation records, reports, hearing minutes, findings, and related records.	Human Resources	5 years after employee leaves service	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-020	Civil Service Examination Test Scores	Includes: Names, dates, and scores of all applicants on each part of the examination and the total exam.	Human Resources	5 years after promulgation of list	County Personnel Code 5 Appendix 1, Rule 7.22(a)	
DHR-030	COBRA Election Notices	Contains notices, replies, and supporting records. Includes: Name, date, terms, signatures, and related information.	Human Resources	6 years after election is made	29 USC 1027	
DHR-040	Community-Based Enterprise Education Program (C-BEEP) Internship Program Records	Contains applications, acceptance notices, orientation materials, exam materials, training manual, and related information.	Human Resources	5 years	Cal Lab Code 3076.3	
DHR-050	County Learning Academy Applicant Tracking and Processing System (TRAC)	Includes: Names, dates, course/program, test scores, and related information.	Human Resources	5 years after employee leaves service	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(a); 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-060	County Learning Academy Training and Development Programs	Contains reports, analyses, training materials, tests, and related records.	Human Resources	5 years		
DHR-070	County Training Event and Workshop Records	Contains attendance sheets, ratings, evaluations, and related records.	Human Resources	5 years		
DHR-080	Employee Benefit Plan Administration Records	Contains plan analyses, agreements, amendments, reports, correspondence, and related records.	Human Resources	5 years after plan ends	29 USC 1027; 29 CFR 1627.3(b)(2)(3)	
DHR-090	Employee Educational Assistance Applications	Contains tuition assistance applications, transcripts, approval or denial of request, and related records. Includes: Name, date, name of school, cost, reimbursement amount, and related information.	Human Resources	5 years after employee leaves service	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-100	Employee Grievance Files	Contains complaint form, investigation records, interview and hearing reports, arbitrator's findings and decisions, tape recordings, and related records.	Human Resources	10 years or 5 years after employee leaves service, whichever is longer	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-110	Employee Health Plan Selection Records	Contains enrollment records, contributions and deduction summaries, year-end leave balance reports, and related records. Includes: Name, date, plan name, beneficiaries, and related information.	Human Resources	6 years after last benefit paid under the plan	29 USC 1027; 29 CFR 1627.3(b)(2)(3)	
DHR-120	Employee Pension Savings Plan and Contribution Reports	Contains enrollment records, contributions and deduction summaries, year-end leave balance reports, and related records. Includes: Name, date, plan name, beneficiaries, and related information.	Human Resources	1 year after plan terminates	29 CFR 1627.3(b)(2)(3)	

Human Resources (DHR) Version 2 3/25/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHR-130	Employee Performance System (EPS) Records	Contains on-line work plans and employee performance ratings. Includes: Department, names, positions, ratings, and related information.	Human Resources	5 years after employee leaves service	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-140	Examination Appeal Files	Includes: Name, date, exam, appeal details, investigation, resolution, and related information.	Human Resources	5 years after resolution	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(a); 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-150	Examination Development Records	Contains job analyses, specimen and story folders, development materials, test booklets, job bulletins, answer sheets, and related records. Specifically, the specimen folder contains selection plan, interview rating standards, and records of examinations. Includes: parts and rates of exam and methods of assessment, cut-off scores or criterion, methods for standardizing exam part scores.	Human Resources	5 years after promulgation of list	County Personnel Code 5 Appendix 1, Rules 7.22; 7.23; 7.24	
DHR-160	Executive Employee Recruitment Records	Contains background material, notebooks, and other records for each recruitment. Includes: Names, dates, description, compensation, contract terms, and related information.	Human Resources	5 years after position is filled	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(a); 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-170	FMLA Records	Contains forms, correspondence, and other records documenting the application for and decision made to grant an employee leave under the Family Medical Leave Act (FMLA).	Human Resources	3 years after decision made on application	29 CFR 1627.3(b)(1)	
DHR-180	Implementation Analysis Document (IAD) Employee Tracking System	Includes: Employee's name, work history, social security number, beginning and ending salary, job titles, job start and end dates, and other related information.	Human Resources	5 years after employee leaves service	CFM 3.1.3	
DHR-190	Job Bulletin Approvals	Includes: Date, position title, and related information.	Human Resources	2 years after position filled	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(a); 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-200	Ombudsman/Community Liaison Program Records	Contains records supporting programs such as the employee recognition, foster youth, and others. Includes: Names of participants, placements, awards, and related information.	Human Resources	5 years		
DHR-210	Position Advertisement Records	Contains advertisements records for a particular position. Includes: Position description, closing date of announcement, the salary range, application details and other related information	Human Resources	5 years after promulgation of list	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(a); 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-220	Position Classification Records	Contains job description, step placement analyses, position status reports, occupational studies, and related records.	Human Resources	3 years after position abolished		
DHR-230	Position Compensation and Salary Records	Contains wage surveys, plans, analyses, and related records. Includes: Position title, description, rate, other compensation, and related information.	Human Resources	3 years after position is abolished	29 CFR 516.5(a); 29 CFR 516.6(a)	

Human Resources (DHR) Version 2 3/25/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHR-240	Position Hiring Authorizations	Includes: Date, position title, and related information.	Human Resources	Move to employee's personnel file upon hiring	29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1627.3(a); 29 CFR 1627.3(b)(1); Cal Gov Code 12946	
DHR-250	Unemployment Insurance Records and Reports	Contains records of payments or denial of unemployment claims. Includes: Names, date, decision, and related information.	Human Resources	5 years after payments end		
DHR-260	Affirmative Action Compliance Programs Training Records	Contains training records for compliance to all OAAC programs. Includes: Educational materials, focus group information, and related records concerning the training of County employees.	Human Resources	5 years		
DHR-270	Affirmative Action Plans and Reports	Contains plans, reports, policies, training plans, and related records.	Human Resources	10 years	29 CFR 1602.30	
DHR-280	Americans with Disabilities Act Department Audits	Contains audit reports, workpapers, correspondence, and related records.	Human Resources	10 years		
DHR-290	County Department Employment Discrimination Complaints and Case Files (External and Internal)	Contains correspondence, complaints, investigation records, analysis findings reports, settlement agreement, and related records. Includes: Data, name, department, complaint, resolution, and related information.	Human Resources	10 years or 5 years beyond the full, final and complete resolution of the proceeding including any and all appeal rights, whichever is longer	29 CFR 1602.14 ; 29 CFR 1620.32; 29 CFR 1627.3(b)(1); Cal Gov Code § 12946	Confidential
DHR-300	County Department Employment Discrimination Mediation Files	Contains mediation election form, EEOC Form 131-ADR, and related records. Includes: Data, name, department, complaint, resolution, and related information.	Human Resources	10 years or 5 years beyond the full, final and complete resolution of the proceeding including any and all appeal rights, whichever is longer	29 CFR 1602.14 ; 29 CFR 1620.32; 29 CFR 1627.3(b)(1); Cal Gov Code § 12946	Confidential
DHR-310	County Workforce Statistical Reports	Includes: Date, workforce utilization by race and sex, and related information.	Human Resources	10 years		
DHR-320	Departmental EEOC Plan Compliance Reviews	Contains documentation related to OAAC's County departments compliance reviews. Includes: Date, department, evaluation, and related information.	Human Resources	10 years		
DHR-330	Model Diversity Plans	Contains plans and related records.	Human Resources	10 years		

Los Angeles County Records Retention Schedule

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-010	Accreditation Records: Inspection and Survey Reports	Contains preliminary and final reports by facility, county, state, federal, other regulatory agencies and Joint Commission. Includes: Accreditation survey results, inspection reports by accrediting institutions, notices of corrections, correction reports, in-house surveys and testing done prior to the actual accreditation survey, public notices required by accrediting organizations, public hearing transcripts, and any additional supporting materials necessary for the survey, inspection, correction of deficiencies, and Professional Staff Association bylaws.	Health Services	5 years after next accreditation report is issued		Confidential
DHS-020	Admission and Registration Records	Includes: Face sheet, address verification, affidavit of residency, custody form (Foster Care), Family Pact Contract Health Access Programs (HAP) Card, foreign visitor ID, MEDS Clearance Printout, Social Security card, patient information form, patient financial folders, and related records.	Health Services	Move to patient case file		Confidential
DHS-030	Admission Statistical Reports Break down to , Yearly and Daily and Monthly	Contains admission statistical data. Includes: Number of patients in particular ward or intensive care, number of patients admitted each day and the number of trauma patients in a day.	Health Services	Yearly reports = Permanent and Daily, Monthly = Until completion of Yearly report		.
DHS-040	Admissions and Administrative Logs	Includes: Admissions logs, AFP list (present, assignment sheets), blood pressure checks, brief encounters, crash carts, employee health, humidity measurement, non-approved admissions, non-stress testing, on-call driver, oncology triage, physician visits, tuberculosis, triage log, trip book, urgent care, CT service, no show log, surgery logs, thermometer log, ultrasound service log, and, MSR procedure logs.	Health Services	6 years		HIPAA PRIVACY-RELATED DOCUMENTS MUST BE KEPT FOR 6 YEARS (45 C.F.R. 164.530(j)(l)
DHS-050	Animal Bite and Disease Records	Contains reports of confirmed and suspected animal diseases and related investigations. Includes: Investigation reports, date and time of incident, and other related information.	Health Services	3 years		Confidential
DHS-060	Blood and Hazardous Material Exposure Files	Includes: Hepatitis B vaccination, results of examinations, medical testing, follow-up procedures, epidemiology and symptoms of blood borne diseases, explanations of the modes of transmission of blood borne pathogens, employer's exposure control plan, health care professional written opinions, needle stick blood/body fluid records, treatment/consent and declination forms, source person risk assessment, HIV treatment, ambulatory surgery exposure records, sharps injury blood/body fluid exposure log, body/blood fluid exposure line list, and related records.	Health Services	30 years after termination: Employee medical records; 5 years: Sharps injury log	8 CCR 5193	Confidential

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-070	Blood Bank Records	Contains donor information, storage and distribution of the product, compatibility testing, quality control records, transfusion reaction reports, complaints, and other information. Includes: On-hand inventory log, notices of emergency shortages log, quality control records, calibration and standardization of equipment, performance checks, periodic check of sterile technique, temperature control of storage and shipment containers, cross-matching tests, antibody screenings, distribution and disposition of the blood product records, visual inspection of whole blood and red blood cells before distribution, temperature log or recorder chart, blood emergency releases records, donor selection, consent forms, medical interview and examination, permanent and temporary deferrals, donor adverse reaction complaints and reports, investigation and follow-up, therapeutic bleedings, immunization, and other records.	Health Services	10 years after the records of processing have been completed or 5 years after the latest expiration date for the individual product, whichever is the later date. When there is no expiration date, records shall be retained indefinitely. **1 year: heat indicator used in the sterilization of the blood collection equipment. 5 years: records of temperature attained during sterilization.**	21 CFR. 606.160; 17 CCR 1000; 17 CCR 1002	Confidential
DHS-080	Certification Action Files	Contains individual files for emergency medical technicians, mobile intensive care nurses and paramedics that were reviewed for actual/possible certification action due to criminal actions and or complaints. Includes: Court minute orders, investigation findings and related correspondence.	Health Services	Permanent		
DHS-090	Certification Records	Contains individual records for emergency medical technicians, mobile intensive care nurses and paramedics who are certified to practice as prehospital personnel by the EMS Agency. Includes: Application, training certificates, exam results, related correspondence and copy of certification card.	Health Services	3 years after certification expires.		
DHS-100	Community Health Plan (CHP)/Provider Records	Includes: Census reports, concurrent review of in-patient admissions, emergency room reports, patient logs/files, patient referral files, statistical reports, optometry reports, patient aftercare instructions, residential care facilities (licensed and unlicensed), notice of action forms, provider exam sheets, and urgent care reports.	Health Services	7 years following discharge: Adult patient records; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minor patient records. Administrative and grievance procedure records, 5 years;	28 CCR 1300.68; 28 CCR 1300.85.1	Confidential

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-110	Controlled Drug Inventory Records	Contains forms used to track and account of all controlled drugs. Includes: Controlled drug inventory log, medication ordering and pick up forms, and controlled drugs reporting forms 271, 272, and 671.	Health Services	10 years: Audit records; 3 years: All other records except inventory records, 2 years from date of inventory of records.	21 CFR 1304.04	
DHS-120	Patient Transportation Reco	Records of requests for patient transport. Includes: Date ,time, requestor's name/facility, patient name, ambulance dispatched, pick-up location and destination, transport level.	Health Services	Adult: 7 years following discharge. Minor: 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge.	22 CCR 75055(a); 42 CFR 482.24; 45 CFR 164.530(j); 9 CCR 784.28;	
DHS-130	Environment of Care Program Records	Includes: Program plans, quarterly reports, safety reports, corrective tour reports, and related records.	Health Services	5 years		
DHS-140	Exterminator Records	Includes: Name of inspector, date, facility bug observations, chemical used, and related information.	Health Services	3 years		
DHS-150	Family Planning Records	Includes: Prenatal records, questionnaire sheet, surveys, intake flows, screenings, and quarterly progress reports.	Health Services	7 years following discharge: Adult patient records; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minor patient records.	42 CFR 482.24	
DHS-160	Fraud Hotline Investigation Case Files	Contains documents relating to employee and department investigations which are a result of calls to the fraud hotline. Includes: Name, date, allegations, investigations, follow-up reports, and correspondence.	Health Services	6 years after disclosure to federal or state government or 10 years after claim was filed or 2 years after the conclusion of any action filed by the federal or state government.		Confidential
DHS-170	Healthcare Materials Management System (HMMS) Claims Records	Consists of Healthcare Materials Management Systems (HMMS) and Sedgwick Claims Management Services data. Includes: Provider, location, legal entities, investigative reports, case summaries, open files, procurement, inventory, accounts payable, transactions, and related information.	Health Services	5 years after provider is no longer used		Confidential

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-180	Infection Control Records	Contains surgical infection investigation reports, and the review and evaluation of all septic, isolation, and sanitation techniques used in the medical facility. Includes: Post operative wound infection reports, reports on an employee who may have or has been exposed to a communicable disease, action taken, test results, infection Control Building Crafts Permit, infection control policy training logs, calendars, and related records.	Health Services	5 years		
DHS-190	Laboratories Licenses, Certificates, and Registration Records	Laboratory personnel, facility and reference laboratory licenses, certificates and registrations as required by State and Federal Lab	Health Services	5 years	17 CCR 1051; Cal Bus & Prof Code § 1265	
DHS-200	Laboratories Quality Control Records	Contains records which attest to the federally required quality and control requirements. Includes: Steps taken in the processing and testing of the quality control samples to assure that the quality control samples are tested in the same exact manner as the regular patient samples, laboratory records for equipment, test kits, and other laboratory test validations.	Health Services	3 years from the date of test	17 CCR 1078; 42 CFR 493.1105 CCR 1050; Cal Bus & Prof Code § 1265	
DHS-210	Laboratory Continuing Education Provider and Licensee Records	Contains continuing education and staff education requirements met. Includes: Attendance records, certificates of completion, reports, and related records.	Health Services	4 years after the completion date	17 CCR 1038.1; 17 CCR 1038.4	
DHS-220	Laboratory Proficiency Tests	Contains records attesting to the handling, preparation, processing, examination, and each step in the testing and reporting of results, testing program report forms, results, and records of remedial actions taken if test score is a failure.	Health Services	*10 years: Cytology reports; 3 years from the date of test years after a test procedure has been discontinued* **[note - the retention period for proficiency tests is <u>two years</u>. The 10 year period for Cytology reports is for actual tests that are abnormal, under 17 CCR 1050. The three year period is the period for preserving medical and laboratory records under Bus & Prof. Code 1265(j)(2).]**	42 CFR 493.801; 42 §CFR 493.1105(a)(4); 17 CCR 1050; Cal Bus & Prof Code 1265(j)(2)	

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-230	Laboratory Testing Records	Includes: Patient laboratory files pending review, pending lab orders to activate, final reports on individual testing, who performed testing, instrument print-outs when applicable, specimen transport logs, patient demographic data changes/edits, logs of tests done by each CLS, pending test logs, glucose records, hemoglobin records, urine analysis records, pregnancy records, temperature logs, equipment logs, nurse charts, records of tests done, critical values logs, reports and audits.	Health Services	Move to patient medical records file: Individual patient test results; lab must independently retain medical and laboratory test records for at least 3 years; histological or clinical confirmation of cytological findings from 10 years minimum; non-waived testing, 10 years after the reporting date for pathology test reports; 5 years from exam date for cytology slide preparations; 10 years from exam date for histopathology slides; 2 years from date of exam for pathology specimen blocks; tissue pathology exam until the diagnosis is made on the specimen.	42 CFR 482.24; 42 493.1105; 9 CCR 784.28; Bus. & Prof. Code 1265; 17 CCR 1050(g)(3)	Confidential
DHS-240	Medical Malpractice Insurance Verifications	Includes: Providers' requests, medical facilities' requests, signed authorizations, responses regarding medical malpractice coverage, malpractice payments, and related records.	Health Services	5 years after coverage expires		Confidential
DHS-250	Medi-Cal Reimbursement and Provider Records	Consists of all financial, statistical, administrative and program records associated with Medi-Cal reimbursement. Includes: Medi-Cal cost reports, CBRC cost reports, Medi-Cal Redesign, Short Doyle cost reports, Hill Burton compliance reviews with supporting documentation, audit files, appeal activity, inpatient/outpatient billing transaction records, Medi-Cal remittance advices, billing records, treatment authorization requests (TAR), and supporting workpapers.	Health Services	6 years after final cost report appeal settlement, but in no event less than 10 years after the fiscal year in which claims for services were submitted.	Welfare and Institutional Code 14124.1; 22 CCR 50111; 42 U.S.C. section 1320a-7a(c)(1); Cal. Gov. Code section 12654	Confidential

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-260	Medical Staff License and Certification Records	Contains Physician Credentialing Committee minutes and licenses and certifications for practitioners, laboratory, and other staff.	Health Services	**3 years following termination of employment for practitioner licenses and certifications, at least committee meeting minutes from the date of the last survey (triennial)**	**22 CCR 70725 for licenses/certifications; for committee minutes (particularly credentialing) it has been helpful to have records going back to at least two previous credentialing periods.**	Confidential
DHS-270	Medical Waste Records Inspection Reports	Contains records documenting the proper handling and disposition of biomedical waste. Includes Medical waste inspection reports, the waste permit/license, manifests picked up by the waste hauler, biomedical tracking forms, address and location of central collection point, and generating point.	Health Services	**3 years after waste was accepted for transport, whichever is later**	**Health & Safety Code sec. 117975; 22 CCR 66262.40**	
DHS-280	Medicare/Medicaid Provider Records	Contains all financial, statistical, administrative and program records associated with Medicare and Medicaid claims, and reimbursement activities. Includes: Medicare cost reports, Tricare cost reports, audit files, appeal activity, Medicare identifications, insurance benefit assignments, insurance cards, insurance authorizations, billing numbers, approved claims, services provided, remittance advices, payment forms, and related information.	Health Services	6 years after final cost report appeal settlement, but in no event less than 10 years after the fiscal year in which claims for services were submitted.	45 CFR 164.530(j); 42 C.F.R. 405.1885 relating to Medicare re-openings; 42 U.S.C. section 1320a-7a(c)(1); 31 U.S.C. section 3731(b)	Confidential as it relates to beneficiary specific information only; cost reports, appeals, etc. are public records.
DHS-290	Pathology Test Reports	Contains legally reproduced copies of each test result and preliminary reports on pathology testing. Includes: test information, specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples, the records and dates of performance of each step in the patient testing, and the final report.	Health Services	10 years:	17 CCR 1050(f); 42 CFR 493.1101	Confidential
DHS-300	Patient Appointment Schedules	Includes: Operating room schedule, name, date/time of appointment, and with whom.	Health Services	3 years		
DHS-310	Patient Billing Records	Includes: AR10, patient statement of accounts, hold payment letter, encounter forms for itemized date collection (IDC), corrective action request letter, satisfactory plan of corrective action letter, patient statement of accounts, waivers, appeals, and related records.	Health Services	6 years [Relates to cost reports (DHS 260) so recommend same period as stated there.	See DHS 260	Confidential
DHS-320	Patient Complaint and Grievance Files	Contains patient complaints, grievances, correspondence, investigation reports, and related records. Includes: Name, date, complaint, follow-ups, investigation data, resolution, and related information.	Health Services	6 years after resolution		Confidential
DHS-330	Patient Consent Forms	Contains authorization and consent forms for medical treatment and services. Includes: Surgery consent, special diagnosis and/or therapeutic procedures, disclosure of protected health information forms, hepatitis B vaccine request, HIV consent, refusal to sign consent forms, refusal to receive results/testing, and related records.	Health Services	Move to patient medical records file		Confidential

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-340	Patient Medical Records	Contains the current and complete medical record for every patient seeking care or service from a healthcare institution. Includes: Admissions records, identification data, chief complaint or reason for seeking care, present illness, personal and family medical history, physical examination report, provisional and pre-operative diagnosis, dental records, clinical laboratory reports, lab reports, pathology and histopathology records, medical staff progress notes, health assessment rehabilitation services records, discharge records, referral forms, evidence of appropriate informed consent, evidence of medication and dosage administered, certification of transfer of patient between facilities, mental status examination and assessments, x-ray interpretation records, emergency care rendered prior to arrival at the facility, and family contact information.	Health Services	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors	22 CCR 75055(a); 42 CFR 482.24; 45 CFR 164.530(j); 9 CCR 784.28; 22 CCR §70751(c)	Confidential
DHS-350	Patient Prescription Records	Consists of prescriptions for non-controlled and controlled legend medications filled by our pharmacists and dispensed to patients. Includes: Full name and address of the patient and prescribing practitioner, practitioner federal controlled substance registry number, dispensed medications, the name of the substance prescribed, its quantity and strength and the directions for its use, the prescription number, the initials of the pharmacist, the date filled, and signature log for prescription pads.	Health Services	3 years	Bus. & Prof. Code §4333: Health & Safety Code §11191	
DHS-360	Patient Video Records	Includes: Video tapes, computer CDs, and streaming video of patients performing therapeutic activities, home exercise programs, and individual occupations.	Health Services	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors		
DHS-370	Pharmacy Purchase Records	Includes: Purchasing receipts for pharmacy, log sheets which track administration of controlled drugs, invoices for narcotics and controlled drugs and prescription files.	Health Services	3 years	Business & Professional Code §4081	
DHS-380	Pharmacy Records	Contains patient record system maintained by all pharmacies for patients to whom new or refill prescriptions are dispensed. Includes: Patient's full name, address, telephone number, age or date of birth, gender, a list of all new or refill prescriptions from previous providers, any comments on patient's therapy, allergies, drug reactions, idiosyncrasies, chronic conditions, and existing conditions may also be recorded.	Health Services	3 years	CA Business & Professions Code 4333(a); CA Health And Safety Code Section 11205	
DHS-390	Provider Billing Records	Includes: Collection letters, provider repayment plan, post service-post payment audit reports, and plan provider payments.	Health Services	4 years		
DHS-400	Provider Profile Records	Contains history of malpractice claims, patient complaints, open cases, legal settlements relating to providers, and other records.	Health Services	5 years from date of filing		Confidential

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-410	Quality Management Records	Includes: Records of reviews performed by Quality Resource Management on performance improvement, core measures, patient satisfaction, patient safety and infection control.	Health Services	5 years		
DHS-420	Radiology Equipment Records	Includes: Inspections, equipment monitoring, maintenance of radiographic exposure devices, instrument calibrations, lead apparel monitoring, dosimetry reports, protective apparel monitoring log, and related records.	Health Services	3 years	17 CCR F2530332.7(c),(d)	
DHS-430	Radiology Film Records	Includes: Radiology, mammography, ultrasound, nuclear medicine, and other film files.	Health Services	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors	CCR 75055, 22 CCR §70751(c)	
DHS-440	Recalled Drugs Records and Log	Contains FDA and manufacturer notices for recalled drugs and documentation of follow up with patients and providers. Includes: Full name and address of the patient and prescribing practitioner, the name of the drug, the prescription number, drug destruction logs, and discarded medication logs.	Health Services	3 years	CA Business & Professions Code 4333(a); CA Health And Safety Code Section 11205	
DHS-450	Respirator Certification and Testing Records	Includes testing certificate, medical evaluation questionnaire and record of all practitioner licenses.	Health Services	5 years		
DHS-460	Respiratory Fit Mask Tests	Includes tests and certificates.	Health Services	2 years		
DHS-470	Training Records	Contains training records for safety, clerical and laboratory training of employees as required by law. Includes: Application, initial orientation records, attendance records, training certificates, enrollment forms, approval by department,	Health Services	**5** years: Laboratory training records; **5 years: All other records [Note: 17 ccr 1035.3 requires lab tech training programs to maintain training certificates for 5 years; 8 CCR 5193 requires certain employees to be trained on bloodborne pathogens, and the records to be maintained for 3 years.]**	8 CCR 5193; 17 CCR 1035.3	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-480	Underground Storage Tank Records	Includes: Licenses, inspections, and related records.	Health Services	3 years after completion of permanent closure or change-in-service or the lease of the Underground Storage Tank, whichever is longer.	40 CFR 280.11(b); 40 CFR 280.20(a)(4), (b)(3); 40 CFR **280.31(d)(1)(2**); 40 CFR 280.33(f); 40 CFR 280.45(a)(b)(c); 40 CFR 280.74	
DHS-490	Unusual Injury Incident Logs and Reports	Contains reports, logs, and correspondence of unusual incidents involving death or serious physical or psychological injury which are reported to the State. Includes: Time, date, location of event, the nature of the incident, arrival time to police, EMS supervisor on duty, types of equipment used, follow-ups, and related information.	Health Services	**2 years (see remarks)**	**22 CCR 70733(a)(8)**	**A facility may want to consider keeping records from the date of the last State survey if longer than 2 years.**
DHS-500	Occupational Injury Data	Data stored under an occupational injury database system. Cal/OSHA Form 300, Form 300A, Form 301, and Privacy Case List.	Health Services	Regulatory: 5 years following the end of the calendar year that these records cover. Recommended: 10 years	8 CCR 14300.33	
DHS-510	Occupational Injury Data	Data stored under an occupational injury database system. Cal/OSHA Form 300, Form 300A, Form 301, and Privacy Case List.	Health Services	**Regulatory**: 5 years following the end of the calendar year that these records cover. **Recommended**: 10 years	8 CCR 14300.33	
DHS-520	Facility Inspection Records: Exterior	Quarterly exterior inspection records	Health Services	**Regulatory**: None; **Recommended**: 5 years	8 CCR 3203(b)	
DHS-530	Facility Inspection Records: Interior	Periodic safety inspection records, a.k.a. Environmental Tours, Environmental Rounds, or Hazard Surveillance	Health Services	**Regulatory/Standard**: None (Cal/OSHA); 3 years (TJC). **Recommended**: 5 years	8 CCR 3203(b); The Joint Commission (TJC) Environment of Care Standard EC.04.01.01	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-540	Employee Safety Training Records: Asbestos		Health Services	**Regulatory**: 1 year beyond the last date of employment (Cal/OSHA), 3 years (AQMD); **Recommended**: 3 years beyond the last date of employment	8 CCR 1529 (n)(4); 8 CCR 5208 (m)(4); South Coast Air Quality Management District Rule 1403 (g)	
DHS-550	Employee Safety Training Records: Aerosol Transmissible Diseases, Bloodborne Pathogens, and Cadmium.		Health Services	3 years	8 CCR 5199(j)(2), 8 CCR 5193(h)(2), 8 CCR 5207 (n)(4)	
DHS-560	Employee Safety Training Records: Hazard Communication		Health Services	**Regulatory**: None; **Recommend**: Retain the latest training on the subject 3 years behond the last date of employment	8 CCR 5194 (h)	
DHS-570	Employee Safety Training Records: Others	Employee Safety Training Records on: Security, Respiratory Protection, Lead, etc.	Health Services	**Regulatory**: None; **Recommend**: 3 years	8 CCR 3203(b)	
DHS-580	Environmental Survey Reports/Records	Asbestos and Lead Survey Reports/Records by outside vendor or in-house personnel	Health Services	**Regulatory**: 3 years for asbestos; **Recommend**: 75 years after the closure of the facility	South Coast Air Quality Management District Rule 1403 (g)	
DHS-590	Asbestos Abatement Records	Submitted notifications to South Coast Air Quality Management District	Health Services	**Regulatory**: 3 years; **Recommend**: 75 years after the closure of the facility	South Coast Air Quality Management District Rule 1403 (g)	
DHS-600	Lead Abatement Records	Abatement Plan; Abatement of Lead Hazards Notification form to California Department of Public Health		**Regulatory:** 3 years; **Recommend:** 75 years after the closure of the facility	17 CCR 36000(b)	
DHS-610	Hazardous Waste Documents: Uniform Hazardous Waste Manifest	Generator's copy with transporter's signature, confirmation copy with TSDF's signature	Health Services	**Regulatory**: 3 years; **Recommend**: Forever	22 CCR 66262.4 (a)	
DHS-620	Hazardous Waste Documents: Waste Determination Records	Test results, waste analyses, etc.	Health Services	**Regulatory**: 3 years from date waste last sent; **Recommend**: Forever	22 CCR 66262.40 (c)	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-630	Hazardous Waste Documents: Land Disposal Restrictions (LDR)	Determination records, notifications/certifications	Health Services	**Regulatory**: 3 years; **Recommend**: Forever	22 CCR 66268.7 (a)(8)	
DHS-640	Hazardous Waste Documents: Generator's biennial report		Health Services	3 years from due date	California Health and Safety Code 25250.17; 22 CC$66262.40 (b)	
DHS-650	Hazardous Waste Documents: Personnel training records		Health Services	Current employee: until closure of the facility; Former personnel: at least 3 years from date last worked at facility	22 CCR 66265.16 (d) & (e)	
DHS-660	Hazardous Waste Document: EPA ID Number Verification Questionnaire		Health Services	**Regulatory**: None; **Recommend**: 7 years		
DHS-670	Hazardous Waste Document: Incidents	Time, date, and details of incidents requiring implementation of contingency plan	Health Services	Until closure of the facility	22 CCR 66265.56 (j)	
DHS-680	HVAC Documents	Inspection and maintenance records of mechanically driven Heating, Ventilating and Air Conditioning (HVAC) Systems	Health Services	5 years	8 CCR 5142(b)	
DHS-690	Underground Storage Tank (UST) Documents: Monitoring & Maintenance	Monitoring equipment calibration and maintenance records, visual observation results, sample analysis,gauge-reading logs, inventory readings and reconciliations,	Health Services	3 years	23 CCR 2712(b)	
DHS-700	Underground Storage Tank (UST) Documents: Cathodic Protection Maintenance Records		Health Services	6 and 1/2 years	23 CCR 2712(b)	
DHS-710	Underground Storage Tank (UST) Documents: Release detection systems	Written performance claims; calibration and maintenance records	Health Services	5 years	23 CCR 2712(b)	
DHS-720	Underground Storage Tank (UST) Documents: Records of repairs, lining, and upgrades		Health Services	Life of the UST	23 CCR 2712(b)	
DHS-730	Litigation Management Files	Consists of all non-medical malpractice; (employment, general, auto liability) and workers' compensation litigated case files inclusive of reports and/or copies of documents from entities such as Human Resources, County Counsel, Defense Counsel, Third Party Administrators, Audit and Compliance Reports, Personnel Records, Corrective Action Plans, Summary Corrective Action Plans and Workers Compensation Fraud Investigations.	Health Services	2-5 Years. 2-years for all records described herin with the exception of WC fraud investigations which will be retained for 5-years from the date of closure	Government Codes: 26201, 26202 BOS Policies: 6.100, 6.106, 6.109	Confidential

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-740	HIPAA and HITECH Cases	Investigative reports and risk assessments. If applicable: notification to State and/or federal government, notification to patients, corrective actions / mitigation, policies and procedures, evidence of corrective actions taken (such as training, personnel actions, policy revisions, etc). .	Health Services	6 years after date of case closure or 2 years after the conclusion of any action filed by the federal govertment related to such material.	Code of Federal Regulations (CFR) 160 and CFR 164	
DHS-750	Audit and Compliance Investigations / Fraud Hotline Investigations	Investigative reports, policies / procedures, documentation reviewed (training, personnel actions, invoices, etc.), evidence of corrective action / recommendation implementation.	Health Services	(a) 6 years after a disclosure to the federal or state government was made, or (b) 10 yearsaftertheclaimwasfil edif there is no disclosure, or ©2 yearsafter the conclusionof any action filed by the federalor state government.		
DHS-760	Audits / Audit Response	Audit reports, summary of exceptions, documentation related to exceptions, documentation of implementation of recommendations.	Health Services	5 years from date of audit issuance or implementation of recommended actions, whichever is longer. Exception is 5 years from date of audit issuance when it is determined that the recommended actions should not be implemented.		
DHS-770	Contract Monitoring Reviews	Contract Monitoring Report, Contract Monitoring Instrument, Contract, and Contractor Letter of Determination, including applicable Corrective Actions. The Contract Monitoring Instrument includes the following reviews: Administrative, Programmatic, Personnel, and Invoice Processing. Other documentation may include: invoices, timesheets and other time records, pre-approved schedules, interview notes, and internet research, etc.	Health Services	Number of years specified in the contract or at least 5 years from the date services were provided, whichever is longer .	Contract	
DHS-780	Litigation - Audit and Compliance Corrective Action Validation Reviews	Consists of non-medical malpractice (employment and general liability) litigated case file corrective action validation reviews, for cases settled for $100,001 and over. All legal documentation is retained in the Litigation Management files.	Health Services	5 years from date of case closure.		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-790	Medical Malpractice - Audit and Compliance Corrective Action Validation Reviews	Consists of medical malpractice litigated case file corrective action validation reviews, for cases settled for $100,001 and over. All legal documentation is retained in the Quality Improvement Program files.	Health Services	5 years from date of case closure.		
DHS-800	Accruals	Annual year-end revenue accruals.	Health Services	Indefinitely		
DHS-810	Adjustment Allowance	Budget adjustments for the Final Budget	Health Services	Indefinitely		
DHS-820	Average Daily Census	This report was requested by the Second District Supervisor Yvonne Brathwaite Burke. The report provides a quick snapshot view of Department of Health Services' Average Daily Census trends for the prior and current year including information for monthly comparisons. "Average Daily Census" means the average number of inpatients receiving service on any given 24-hour period beginning at midnight in each clinical service area of the hospital.	Health Services	10 years		
DHS-830	Beilenson	Documentation (e.g. class action suits, hearing regulations & original curtailment record proceedings.	Health Services	5 years		
DHS-840	Budget Status Report to Chief Executive Office for the Board	Report to the Chief Executive Office / Board reflecting the Department of Health Services' current forecast. Prepared in the 5, 7, 9, & 11th months of each fiscal year.	Health Services	5 years		
DHS-850	Cash flow to Auditor-Controller	Monthly Cash Flow Projections	Health Services	5 years		
DHS-860	Department of Heath Services Budget Files by Facility/Analyst	Various phases of the budget process (e.g. status quo, proposed final changes, supplemental through adopted)	Health Services	3 years		
DHS-870	Department of Health Services Centralized Budget Binders by Facility	Various phases of the budget process (e.g. status quo, proposed final changes, supplemental through adopted) including the walkthroughs.	Health Services	Indefinitely		
DHS-880	Department of Heath Services Financial Performance Analysis	This report forecasts full-year estimates, compared to the Board-adopted budget (or subsequently issued Adjusted Allowance), based on information available through the end of the preceding month. It is used by Department of Health Services Finance to monitor the financial status of each Budget Unit, and the Department as a whole.	Health Services	5 years		
DHS-890	Department of Health Services Financial Trends	Back-up schedules and documentation for Department of Health Services' Financing Trends	Health Services	Indefinitely		
DHS-900	Department of Health Services Fiscal Outlook	Department of Health Services' multi year projection prepared 3 months.	Health Services	5 years		
DHS-910	Department of Health Services Registry Report	Monthly and Final Registry Report consisting of estimated registry costs, estimated hours, and final actuals.	Health Services	5 years		
DHS-920	Fiscal Year Commitment Encumbrance Cancellation	Annual report from facilities of Commitment/Encumbrance cancellations.	Health Services	5 years		
DHS-930	Performance Counts	New - Report Measuring performance by Department.	Health Services	Indefinitely		
DHS-940	Workforce Reduction	Curtailment reports 1988/89 and 1995/96.	Health Services	Indefinitely		

Health Services (DHS) Version 0 1/20/2014

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DHS-950	Workload Report	Workload Status Report Summary reflects Average Daily Census, Hospital Births, Hospital Emergency Room visits, Ambulatory Care (Outpatient visits).	Health Services	6 years after final cost report appeal settlement		

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Los Angeles County Records Retention Schedule

Mental Health (DMH) Version 0 11/7/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DMH-010	Access Client Contact Management (ACCM) Records	Database of services provided to clients. Includes: Name, dates, services provided, incident numbers, clinical information, and related information.	Mental Health / Access Center	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-020	Bed Availability Tracking Records	Includes: Site name, location, number of beds available by age group and gender, and related information.	Mental Health / IMD	Until superseded, then 2 years		
DMH-030	Benefits Assessment	Consists of data created when clinicians help clients fill out Social Security Information (SSI). Includes: Name, date, social security number, services, and related information.	Mental Health / RMD	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-040	Client Clinical Records	Contains clients' records. Includes: client's demographic information, various consents, documentation of all services delivered to that person (assessment, treatment, psychological test results, discharge plan, medication), correspondence, and in client hospital admissions.	Mental Health / Clinical Records Director	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1); 45 CFR 164.524	Confidential
DMH-050	Client Complaint and Grievance Files	Contains patient, including jail inmate, complaints, grievances, correspondence, investigation reports, and related records. Includes: Name, date, complaint, follow-ups, investigation data, resolution, and related information.	Mental Health / Patients Rights	6 years after case is closed or resolved	45 CFR 164.530(j)	Confidential
DMH-060	Client Medication Authorizations	Includes: Name, date, location, medication, services, and related records.	Mental Health / Pharmacy	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	
DMH-070	Client Missing Persons File	Includes: Name, date client reported missing, DOB, SS #, last known contact, and related information.	Mental Health / Patients Rights	5 years from the date reported missing		Confidential

Mental Health (DMH) Version 0 11/7/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DMH-080	Client Service Authorization Records	Contains data from MHMIS, therapeutic behavioral services (Medi-Cal funded services) records, and inpatient and outpatient treatment service records. Includes: Name, date, services provided, and related information.	Mental Health / Medi-Cal Professional Services	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-090	Clinical Chart Filing System	Provides the physical location of a client's chart and details who was the last person in possession of the chart. Includes: Name, date, location, and related information.	Mental Health / Clinical Records Director	Until entry superseded, then move to Client Clinical Records	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-100	Conservatorship - Client Records (Active, Terminated and Deceased Conservatorship)	Contains court documents, legal papers, and medical records.	Mental Health / Public Guardian	7 years after conservatorship ends	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-110	Contact Records	Contains information on non-mental health episodes. Includes: Name, date, service requested, and related information.	Mental Health	Adults: 7 years after discharge; Minors: until age 25	CA H&S 123145; CA B&P 2919	Confidential
DMH-120	Crisis Response Tracking (CRT) Records	Includes: Name, date, times, services provided, and other information.	Mental Health / EOB	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-130	Day Treatment and TBS Service Requests	Contains data entered by clinicians to request services for day treatment and concurrent mental health services and therapeutic behavioral services (TBS). Includes: Name, date, client biographical information, request tracking status, and related information.	Mental Health / Managed care	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-140	Emergency Outreach Bureau Field Contact Form	Contains client data recorded by field staff. Includes: Name, date, client biographical information, clinical assessment, and related information.	Mental Health	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-150	Full Service Partnership (FSP) Authorizations	Contains records dealing with referral, approval, and disenrollment of FSP participants. Includes: Name, date, FSP referral, approval; disenrollment; client biographical information, request tracking, and related information.	Mental Health	Adults: 7 years after discharge; Minors: until age 25	CA H&S 123145; CA B&P 2919	Confidential

Mental Health (DMH) Version 0 11/7/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DMH-160	Initial Contact Records	Contains records of telephone calls received from individuals, correspondence, and other information gathered from individuals. Includes: Name, date, determinations, and related information.	Mental Health	Adults: 7 years after discharge; Minors: until age 25	CA H&S 123145; CA B&P 2919	Confidential
DMH-170	Inmate Daily Activity Clinician Records	Includes: Name, date, location, results, and related information.	Mental Health	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential; records are retained by Sheriff's Department
DMH-180	Inpatient Care Records	Contains database of services provided from time client admitted at a provider site to time of discharge. Includes: Client demographics, contact information, primary physician, the date and time client admitted and discharged, and treatment notes.	Mental Health	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-190	Juvenile Clinical Record	Contains Juvenile Justice Information System information to retrieve and maintain clinical information. Includes: Name, date, location, services, Maysi test results, and related information.	Mental Health / Clinical Records Director	1 year after the minor reaches the age 18, but not less than 7 years	22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-200	Lanterman Petris Short (LPS) Designation Records	Contains records of individuals designated to inpatient hospitals. Includes: Signed paperwork, passing grade on required test, inception and expiration dates for individual designation, signed attestations, and related information.	Mental Health / Patients Rights	5 years after LPS expires		
DMH-210	Lanterman-Petris-Short (LPS) Designation Audit Reports	Contains formal reports of LPS designation reviews, audits or examinations of designated inpatient facilities, completed survey checklists, and related records.	Mental Health / LPS Designation Coordinator	Permanent: Final report; 5 years: All other records		Confidential
DMH-220	Lanterman-Petris-Short (LPS) Designation Monthly Data Reports	Contains LPS designation statistical and narrative Monthly Data Reports for designated inpatient facilities. Records are compiled monthly, quarterly, and annually.	Mental Health / LPS Designation Coordinator	5 years		
DMH-230	Medical Administrative Activities Database	Contains data used to track activities. Includes: Name, date, services provided, fess, and related information.	Mental Health / Finance	5 years and until the State/Federal audit is completed	42 CFR 482.24	Confidential
DMH-240	Medi-Cal Claims Tracking System	Consists of database for base claim search and summary of Medi-Cal Claims submitted. Includes: Claim number, services provided, and related information.	Mental Health / CIOB / Revenue Systems Division	3 years after the settlement process ends	Welfare and Institutional Code 14124.1; 22 CCR 50111	Confidential

Mental Health (DMH) Version 0 11/7/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DMH-250	Mental Health Provider File Adjustment Request (PFAR) Program	Contains new provider and provider status changes. Includes: Provider name, type of qualified funding reimbursement sources, legal status, contractual status, licensure, and type of service that the provider is authorized to perform.	Mental Health / CIOB / Information Security Division / System Access Unit	5 years after provider is no longer used	28 CCR 1009	
DMH-260	Mental Health Provider Maintenance Records	Consists of Mental Health Management Information-Management and Claiming System (MHMIS) data. Includes: Provider, location, legal entities, and related information.	Mental Health / CIOB / Information Security Division / System Access Unit	5 years after provider is no longer used	28 CCR 1009	Confidential
DMH-270	Mental Health Provider Records	Consists of Provider Complaint Log, Request to Change Providers, Notice of Action Forms from Outpatient Programs, Residential Care Facilities (licensed and unlicensed), and IMDs Includes: Correspondence, site visits, grievances and investigative reports.	Mental Health / Patients Rights	5 years after provider is no longer used	28 CCR 1300.68; 28 CCR 1009	
DMH-280	Mental Health Provider Registry System Record	Contains data concerning mental health service providers. Includes: Fee, provider name, credentials, contracts, license, billing, and other information.	Mental Health / Managed Care	7 years after provider is no longer used	9 CCR 784.28(a)	
DMH-290	Outcome Measures Client Database	Consists of database created when clinician creates a baseline, key event change, and quarterly change (3 Month) evaluation of their clients. Includes: Name, date, biographical data, location, services, clinical data, and related information.	Mental Health / MHSA Implementation (Adult Systems of Care - ASOC)	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-300	Patient Prescription Record	Contains the patient's medical record. Includes: Patient's name, date ordered, name of drug, strength, amount received, and the issuing pharmacy.	Mental Health / Pharmacy	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-310	Psychotropic Medication Authorization	Contains medical and background information on child and transition age youth clients which require prescribed medications. Includes: Biographical and medical information on client.	Mental Health / Juvenile Justice	1 year after minor reaches the age of 18, but no less than 7 years after discharge	22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential
DMH-320	Residential Program Log	Includes: Name, date, program activity, and related information.	Mental Health / Patients Rights	5 years	Department standard	Confidential

Mental Health (DMH) Version 0 11/7/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DMH-330	Treatment Authorization Requests	Consists of data used to authorize and track denials and approvals by client and provider for inpatient and outpatient specialty mental health services. Includes: Name, date, location, provider, services, and related information.	Mental Health / Treatment Authorization Request	Adults: 7 years after discharge; Minors: 1 year after the minor reaches the age 18, but not less than 7 years	9 CCR 784.28(a); 22 CCR 75055(a); 22 CCR 79807(c); 42 CFR 482.24(b)(1)	Confidential; "All health records of discharged clients shall be completed and filed …..record be kept for a minimum of 7 years."

Los Angeles County Records Retention Schedule

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-010	Acute Communicable Disease Files	Includes: Control files, outbreak files, vaccine preventable disease (VPD) reports, case investigations, FBI advisory reports, investigation reports, correspondence, letters, and memos.	Public Health-CDCP/ACDC & IP	5 years.		The Immunization Program also maintains records related to case and outbreak investigations so has requested that the Program be added as an additional Responsible Business Unit.
DPH-020	Animal Bite and Disease Reports	Contains reports of confirmed and suspected animal diseases and related investigations. Includes: Investigation reports, date and time of incident, and other related information.	Public Health- QI/PHI	3 years		

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-030	Birth Records	Contains vital statistics birth records and certificates filed ith the State. Includes: Birth records, amendments, and registration records.	Public Health - CSO/Vital Records	N/A - Registrar-Recorder/County Clerk's office responsible for permanent retention		Vital and Confidential There is no State set timeline for the original documents. There is only a timeline for registration which takes place electronically. Once the birth records are scanned and quality control is completed by RRCC an email is sent to Vital Records staff indicating the images are good and the original documents can be released. The birth records are then mailed to the State.

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-040	Black Infant Health System Program Records	Includes: Agreements client demographic Information, non-medical data, and other system records.	Public Health-MCAH: Black Infant Health Program	3 years after the termination of agreement		Per County Counsel, determination for records retention will be based on granting requirements. As indicated in the State Policy and Procedure Manual for MCAH/BIH, records will be retained for a minimum of 3 years.
DPH-050	Body Shipment Records	Contains health letters issued for the shipment of bodies out of the country. Includes: Name of deceased, the destination, death certificate, funeral home information, and related information.	Public Health - QI/PHI	5 years		Confidential
DPH-060	California Immunization Registry (CAIR) Declination Forms	Contains CAIR declination forms for individuals who decline to have their immunization records included in the registry. Note: Confidential CAIR is maintained by the California Department of Public Health, not the Immunization Program. Electronic immunization records in CAIR are stored on a statewide server. Thus, the Immunization Program is not responsible for the maintenance of these immunization records. However, in the past, CAIR declination forms for clients vaccinated at selected DPH vaccination outreach events or in non-clinical partner sites, were sent to the Immunization Program. The Immunization Program proposes to use the same standard for maintaining these as is used for immunization records.	Public Health- CDCP/ IP	Minors: Records will retained for at least 1 year after the minor has turned 18 years of age, with a minimum retention period of 7 years. Adults: 7 years		
DPH-070	California Medical Marijuana Identification Card Records	Contains information on the Medical Marijuana Identification Card that is electronically sent to the State. Includes: Application/renewal form (DHS 9042), patient's name, primary care giver, primary care giver duties, and attending physician.	Public Health- CSO/OHAE: MMIP	Minimum 3 years.		Confidential. (Per Discussion with Counsel 11/7/13)
DPH-080	Case Management Systems Records	Contains data for vendors, STD, and other cases.	Public Health- DHSP	2 years after superseded		Confidential

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Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-090	Case Watch Database	Contains patient recording and reporting of reportable diseases, case management and investigations, surveillance, and partner services.	Public Health- DHSP	6 years from the date of its creation or the date when it was last in effect, whichever is longer	45 CFR 164.530	
DPH-100	Child Lead Poisoning Medical Case Files	Includes: Administrative and epidemiology processing points (AEPP), environmental laboratory reports, environmental investigation summary statement (Appendix A-1 and A-2), lead poisoning follow-up form (LPFF), lead hazard evaluation report (form 8852), x-ray fluorescence (XRF) printouts, environmental health abatement work plans, abatement of lead hazards notification (form 8851); environmental health legal, administrative office hearing, court case, district attorney hearing, correspondence, progress note documentation, clearance letter, medical outreach questionnaire, and related documents.	Public Health- MCAH/CLPP	7 years following discharge: Adult; 1 year after a minor reaches the age of 21 years but not less than 7 years following discharge: Minors	22 CCR 75055(a)	Confidential and Vital
DPH-110	Commercial Sex Venues Investigative Files	Consist of investigative files of bathhouses. Includes: Inspections, litigation information, and correspondence.	Public Health- QI/PHI	5 years after case closed or resolved		
DPH-120	Death Certificates	Contains State vital statistics death and fetal records. Includes: Name, date of death, registration records, death certificates, and burial permits.	Public Health- CSO/Vital Records	Permanent		Vital and Confidential
DPH-130	Driving Under the Influence (DUI) Enforcement Records	Contains all documents relating to DUI enforcement efforts. Includes: Check point operation data, client demographic, DUI education records, and court ordered drinking and driving programs.	Public Health- SAPC	5 years		
DPH-140	Elder Abuse Reports	Contains mandated reports related to elder abuse. Includes: Elder abuse report, administrative reports, developing trends in elder abuse, neglect, self-neglect reports, correspondence, and related information.	Public Health- CDIP/Senior Health	5 years		Confidential

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-150	Federal and State-Funded Substance Abuse Public Health Program Records	Contains Family Dependency Drug Court (FDDC), Comprehensive Drug Court Implementation (CDCI), Drug Court Partnership (DCP), California Outcome Measurement System (CALOMS), Offender Treatment Program (OTP), Parolee Services Network (PSN), Substance Abuse Crime Prevention Act (SACPS), and other programs. Includes: Applications, invoices, supporting data, annual work plans, attestation letters, payment confirmation letters, quarterly reports to State, State allocation notices, public notices to County, correspondence, reports, monies received, expenditures, payment claims, reconciliations, and related records.	Public Health- SAPC	7 years following discharge: Adult patient medical records; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minor patient medical records; 6 years from the date of its creation or the date when it last was in effect, whichever is later: HIPAA-related records; 5 years after case file closed or the date of submission of the final expenditure report for the period to which the report pertains, whichever is longer: Financial records, reporting, and all other records	22 CCR 75055(a); 42 CFR 482.24; 45 CFR 164.530(j); 9 CCR 784.2845 CFR 164.530(j); 45 CFR 164.316; 22 CCR 51341.1(i); California Welfare and Institutions Code Section 14124.1	Confidential
DPH-160	Food, Housing, Theater, Garment Manufacturing, Commercial Laundries, Swimming Pools, and Pet Store Records	Contains records pertaining to operation of food facilities, theaters, housing, garment manufacturing establishments, commercial laundries, swimming pools, and pet stores. Includes: Site records, permit/licenses, fee records, citations issued, notice of violations, status update forms, unlicensed food vendor inspections, complaint forms, office hearing notices, inspection reports, filed field cards, food born illness reports, environmental health EHMIS update forms, impound records, recommendations, court case records, and closure records.	Public Health - Environmental Health	5 years after final disposition; Court case records; 2 years after permit/license cancelled, evoked, or expires: Permits. licenses, citations, violations, and remiedal actions taken; 5 years: All other records permit/license cancelled or evoked		Vital
DPH-170	Healthcare Materials Management System (HMMS) and Online Requisition Reports	Contains reports relating to monthly production for materials management from automated procurement and inventory systems (HMMS and OLR).	Public Health- OAD	5 years	28 CCR 1009	

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-180	HIPAA Controls Self-Certification	Contains records documenting procedures used to protect HIPAA-related information.	Public Health- OAD	6 years from the date of its creation or the date when it last was in effect, whichever is later.	45 CFR 164.530(j); 45 CFR 164.316	
DPH-190	HIV/AIDS Case Registry Database	Contains I-HARS (Integrated HIV/AIDS Reporting System) records. Includes: Lab notification database, provider list, and LINELIST (database with alias, wrong date of birth, and so on), pediatric HARS, and incident surveillance database	Public Health- DHSP	Permanent		Confidential
DPH-200	Laboratory Analytical Testing Records	Includes: Specimen transport logs, patient demographic data, test results, laboratory test and quality control logs, work cards, corrective actions, quality control records, and patient test results, preventive maintenance, supply and equipment invoices, instrument printouts and quality system assessments.	Public Health-CDCP/PH Laboratory	3 years after the date test was performed	42 CFR 493.1105(a)(3); Cal Bus & Prof Code 1265 (j)(2); Cal Wel & Inst Code 14124.1	
DPH-210	Laboratory Nondiagnostic General Health Assessment (NGHA) Program Records	Includes: Applications, license, staffing documentation, policies and procedures, fees paid, and related records.	Public Health-CDCP/PH Laboratory	5 years after license expires		
DPH-220	Laboratory Proficiency Test Records	Contains records attesting to the handling, preparation, processing, examination, and each step in the testing and reporting of results including remedial actions taken for test failures. Includes: Testing program report forms, results, records of remedial actions taken if test score is a failure, and related records.	Public Health-CDCP/PH Laboratory	3 years from the date of test	42 CFR 493.801; 42 CFR 493.823(b)(2); 42 CFR 493.1105(a)(3); 17 CCR 1050; Cal Bus & Prof Code 1265 (j)(2)	
DPH-230	Laboratory Sample Chain of Custody Records	Contains reports, logs and control cards tracking samples relevant to County and FBI cases. Includes: Case control number, sample description, and date and names of persons who last handled the sample.	Public Health-CDCP/PH Laboratory	Death case files: Permanent; Felony case files: 10 after case closed or resolved; All others: 6 years	Cal Penal Code 802; Cal Penal Code 799-800	
DPH-240	Laboratory Test Requisitions and Authorizations	Includes: Patients' name, date and time of specimen collected, patient demographics, pertinent clinical information, bioterrorism and chemical terrorism tests, water systems testing, and related information.	Public Health-CDCP/PH Laboratory	3 years from the date of test	42 CFR 493.1105(a)(1); 17 CCR 1078; 17 CCR 1050; Cal Welfare & Institution Code 14124.1; Cal Bus & Prof Code 1265 (j)(2)	Confidential
DPH-250	Laboratory Test System Performance Verification or Validation Records	Contains documentation used to verify and validate performance specifications and control procedures for test systems used by the laboratory. Includes: Records detailing accuracy, precision, analytical sensitivity and specificity, reportable range of test results, and related information.	Public Health-CDCP/PH Laboratory	For the period of time the laboratory uses the test system but no less than 3 years following discontinuation of the test procedure.	42 CFR 493.1105(a)(3)(i) Cal Bus & Prof Code 1265 (j)(2); Cal Wel & Inst Code 14124.1	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-260	Laboratory Test System Standard Operational Procedure Records	Contains the operating procedures used to perform specific tests within in the laboratory.	Public Health-CDCP/PH Laboratory	3 years following discontinuation of particular test procedures	42 CFR 493.1105(a)(2) Cal Bus & Prof Code 1265 (j)(2); Cal Wel & Inst Code 14124.1	
DPH-270	Land Use Application Comment Records	Includes: Subdivision maps, environmental impact reports, conditional use permits, and other requests sent for department comment on the application.	Public Health - Environmental Health	30 years		Vital
DPH-280	Lapses of Consciousness Report	Contains physician's notification of patient diagnosed for lapse of consciousness (Confidential Morbidity Report) which are sent to Department of Motor Vehicles. Includes: Name of patient, assisting physician, diagnosis, and recommendations.	Public Health - CSO/OHAE Morbidity Unit	Reports sent directly to the DMV. DPH retains no copies of the reports.		Confidential
DPH-290	MediCal Reports	Consists reports related to MediCal cost. Includes: Inpatient/outpatient transaction information, claim number, services provided, payment form, and related information.	Public Health- SAPC	5 years	California Welfare and Institutional Code 14124.1; 22 CCR 50111	
DPH-300	Medicare/Medicaid Provider Records	Contains all financial, administrative and program records associate with Medicare and Medicaid claims, reimbursements, and client activities. Includes: Medicare ID, insurance benefit assignment, insurance cards, insurance authorization, claim number, approved claims, services provided, payment form, and related information, cost reports	Public Health - OAD/Finance	6 years	45 CFR 164.530(j)	
DPH-310	Nursing Certification Records	Includes: State nursing certification, curriculum for classes, instructors, date, location and continuing educations units.	Public Health-QI/Nursing Admin	4 years after certification expires	Title 16, CCR, Sections 1454(d) and (f)	Confidential. Continuing nursing education must keep the records for 4 years or a period required by the Nursing Board, if different.
DPH-320	Patient Billing Records	Contains records pertaining to billing for patient care and services. Includes: Total charges, hold payment letter, corrective action request letter, satisfactory plan of corrective action letter, patient statement of accounts, waivers, and appeals.	Public Health - OAD/Finance	6 years	45 CFR 164.530(j)	

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-330	Patient Medical Records (excluding employee medical records)	Contains the current and complete medical record for every patient seeking care or service from a healthcare institution. Includes: Admissions records, identification data, chief complaint or reason for seeking care, present illness, personal and family medical history, physical examination report, provisional and pre-operative diagnosis, clinical laboratory reports, lab reports, medical staff progress notes, health assessment rehabilitation services records, discharge records, referral forms, evidence of appropriate informed consent, evidence of medication and dosage administered, certification of transfer of patient between facilities, mental status examination and assessments, x-ray interpretation records, emergency care rendered prior to arrival at the facility, and family contact information.	Public Health - CHS	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors	22 CCR 75055(a); 42 CFR 482.24; 45 CFR 164.530(j); 9 CCR 784.28	DPH business practice is to maintain Hansen's Disease, MDR-TB, and Typhoid records as permanent and Syphillis records are kept for 33 years. No requirements can be found at this time.
DPH-340	Perinatal Hepatitis B Records	Contains records of infants prenatally exposed to Hepatitis B, questionnaire sheets, and Heptatitis B investigative reports.	Public Health - CDCP: Immunization Program	5 Years		Confidential
DPH-350	Protected Health Information (PHI) Disclosures.	Contains an accounting of disclosures of protected health information (PHI) as required by the Health Insurance Portability and Accountability Act (HIPAA).	Public Health- PHIS	6 years from the date of its creation or the date when it was last in effect, whichever is longer	45 CFR 164.528; 45 CFR 164.530	
DPH-360	Provider Billing Records	Includes: Collection letters, provider repayment plan, post service-post payment audit reports, and plan provider payments.	Public Health- CHS	5 years after paid or resolved		
DPH-370	Public Health Provider Records	Includes: Applications, agreements, site documents, licenses, certifications, resumes, correspondance. Charts, reports, claims adjustments, reimbursements, and related records.	Public Health- SAPC	5 years after provider is no longer used	28 CCR 1300.68 and 28 CCR 1009	
DPH-380	Radiation Detection Inspections	Contains records generated in the course of performing routine radiation safety inspections on facilities with x-ray machines. Includes: Date and time of inspection, inspector observations/notes, inspection letters, out-dated instruments, out of service instruments, notice of violations, and copies of radiation shielding evaluation forms and reports.	Public Health - Environmental Health	5 years		
DPH-390	Radioactive Waste Disposal Records	Contains folders where the licensee uses/has stopped using radioactive materials. Includes: Inspection data forms, observations, copies of inspection letters, notice of violations mailed to licensees, copies of health and safety and/or administration investigation forms and reports, amount of disposed materials, staff handling transfer process, and decommissioning data demonstrating appropriateness of release of site for uncontrolled use,	Public Health Environmental Health	5 years after termination/expiration of license or if in litigation retain until case closed/resolved		Vital

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-400	Small Water System Records	Contains records for small water systems tracked. Includes: Maps, plans, permits, sanitation surveys, water test lab reports, inspection reports, violations, and related records.	Public Health - Environmental Health	Permanent; Maps, plans, and permits; 10 years: Sanitary Surveys and testing reports (testing records will be re-evaluated after 10 years to determine if they retain any value for studies of long term health effects);3 years after the last action taken: Violations; 5 years: All other records	40 CFR 141.33; 22 CCR 64470(a),(b)	Vital
DPH-410	Smallpox Administrative Forms and Records	Includes: Smallpox order/transfer/accountability forms and smallpox questionnaire screening patients prior to vaccination.	Public Health- QI/PHI	7 years		Confidential
DPH-420	Solid Waste Records	Consists records pertaining to disposal site or facility. Includes: All applications, permits, inspection reports, reports, correspondence, notices, orders, maps, blueprints, photos, California Environmental Quality Act documents, Solid Waste Operating records, Solid Waste Assessment Tests, and historical records.	Public Health- Environmental Health	As long as a facility or disposal site physically exists, and until written discard approval is given by the California Integrated Waste Management Board.	14 CCR 18020	
DPH-430	Staff Certification, Training Records	Contains documentation of required and recommended training certifications of department staff.	Public Health- QI/ODT	5 years after employee leaves service	8 CCR 5193; 17 CCR 1035.3; 17 CCR 1051; 17 CCR 1038.1; Cal Bus & Prof Code § 1265	Confidential
DPH-440	Division of Chronic Disease and Injury Prevention	Consists of office files documenting the program's activities. Includes: Agreement, activities, audit/monitoring records, scope of work, memoranda, correspondence, and statements prepared for delivery at meetings, and public functions.	Public Health- CDIP	5 years after the agreement expires and final report submitted		CDIP has so many grants that they have developed a 5 year minimum records retention for all files. No grant requirement exceeds 5 years.
DPH-450	Transportation Services Records	Contains documents pertaining to client transportation services. Includes: Provider authorization list, application, and certification records.	Public Health- QI/PHI	5 years after certification ends		

Public Health (DPH) Version 0 11/27/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPH-460	Tuberculosis (TB) Registry Data Processing Files	Contains suspected TB cases reported to the registry. Includes: Copies of confidential HIPAA files on TB suspects, cases, contacts, and targeted testing patients.	Public Health - CDCP/TB Control Program	Permanent: MDR-TB; 20 years: NonMDR-TB		
DPH-470	Vaccine Provider Records	Includes: Vaccines for Children Program (VFC) forms; provider activity reports (CoCASA reports and QA Reviews, including documentation of storage and handling practices); documentation of provider vaccine losses (incident reports); vaccine inventory reports (only for County-purchased vaccines); and provider vaccine order forms (only for vaccines that are allocated or delivered by the LA County DPH). Note: The items listed under "Vaccine Provider Records" do not include official patient immunization records (e.g., yellow cards, California Immunization Records). However, the provider activity reports that are listed under this category do include results of assessments that are completed with participating providers to assess missed opportunities to vaccinate and invalid immunization doses. These assessments list the names and dates of birth of patients, along with the names of specific vaccines that were missed or given as invalid doses. We would appreciate you letting us know what the suggested minimum retention requirement for these would be.	Public Health - CDCP/ IP	5 years after termination of service		Note: Vital. The Immunization Program suggests that the record description be modified to: 1) remove references to several items that were listed that are not provider records, but rather are policies, tools, or job aides and 2) more accurately describe the records that are included in the description.
DPH-480	X-Ray Records (excludes employee x-ray records)	Contains x-rays records for each patient. Includes: Name of patient, type if examination, the dates of exam, and technician performing the service.	Public Health - CDCP/TB Control Program	Permanent: MDR-TB; 7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors: All other records	22 CCR 75055(a); 42 CFR 482.24; 45 CFR 164.530(j); 9 CCR 784.28; 22 CCR 70751; 22 CCR 71551	Confidential

Los Angeles County Records Retention Schedule

Public Library (DPL) Version 0 4/16/14

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPL-010	Alcohol Policy for Special Events	Includes: Policy purpose, permit conditions, procedure, and request to serve alcoholic beverages form.	Public Library (Community Library)	2 years		Vital
DPL-020	Child Internet Access Permission Requests an Internet applications for minors	Includes: Name, library card number, level of internet access, parent/guardian's name and signature, cost code, and barcode for staff use.	Public Library (Community Library)	1 year after library card expires (Library card currently expires after 3 years unless renewed).		Confidential
DPL-030	Community Library Needs Assessment Records	Includes: Analyses, surveys, demographic data, input from all stakeholders, and final report on how library services can be best delivered to the community.	Public Library (Public Services)	Permanent: Final reports; 3 years: All other records		Vital
DPL-040	Development Project Environmental Reviews: Library Responses	Includes: Request, library response, environmental documents, worksheets, correspondence, and related records.	Public Library (Support Services)	3 years after project build-out: Approved residential projects; 2 years after denial date: Denied residential projects; 2 years: All other records		Vital
DPL-050	Digital Image Release Form	Includes: waiver, release, name, signature, and date.	Public Library (Community Library)	5 years	US Code Title 17, Chapter 5, section 507	Vital
DPL-060	Interlibrary Loan Requests	Includes: Requesting library's name, cost code, interlibrary loan fees, photocopy fees, borrower's initials, customer's name, library card number, address, date, deadline, telephone number, author, book title, format, edition, published date, volume, issue date, and citation.	Public Library (Technical Services)	Retain until borrowed item returned and fees paid		Confidential
DPL-070	Library Building Programs	Includes: Final report and supporting records concerning facility space, furnishings, fixture and equipment, library materials, and service requirements of a library based on Community Needs Assessments.	Public Library	Permanent: Final reports; 3 years: Supporting records		Vital
DPL-080	Library Card Applications	Includes: Name, address, date of birth, phone number, last 4 digits of their social security number, signature, parent/guardian information and signature for minors, and related information for staff use.	Public Library (Community Library)	Adult Paper Application is kept until entered and verified. Adult Electronic Copy is kept for 2 years after card expires. Minor Paper Application is kept for 12 months from application date. Minor Electronic Copy is kept for 2 years after card expires.		Confidential

Public Library (DPL) Version 0 4/16/14

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPL-090	Library Catalog	Includes: Item title, author, year of publication, ISBN, type of material, item bar code number, call number, and related information.	Public Library (ILS Operations)	Permanent		Vital
DPL-100	Library Customer Information Record	Includes: Name, address, date of birth, phone number, driver's license number, personal identification number, the last 4 digit of the social security number, library card number, and related information.	Public Library (ILS Operations)	5 years after library card expires, and all associated fines and fees cleared		Confidential
DPL-110	Library Facilities Mitigation Fee Exemption Records	Contains application form or letter from applicant and copies of library clearance letter, grant deed or property tax bill, plan check fee receipt. Includes: Name, project address, assessor parcel number, correspondence, and related information.	Public Library (Support Services)	5 years		Vital
DPL-120	Library Facilities Mitigation Fee Payment and Refund Records	Contains application form and copies of library clearance letter, plan check fee receipts, checks, miscellaneous receipts, correspondence, and related information. Includes: Name of the building permit applicant, project address, assessor parcel numbers, service area, planning area, fee paid, check number, check name, receipt number, and related information.	Public Library (Support Services)	Final record of expenditures kept permanently.	Government Code 66001	Vital
DPL-130	Library Facilities Mitigation Fee Planning Area Records	Contains files and maps defining the geographic boundaries of the seven planning areas subject to the library facilities mitigation fee.	Public Library (Support Services)	Maintain old map data for 2 years after board approval of new map data		Vital
DPL-140	Library Service Area Files	Contains files and maps defining the geographical boundaries served by the County Library district and community libraries.	Public Library (Support Services)	Maintain old map data for 2 years after board approval of new map data		Vital
DPL-150	Library Transaction Historical Log	Includes: Item barcode number, library card number, transaction type, amounts, and transaction library. The link between the item bar code number and the library card number is broken immediately when the item is returned and all associated fines and fees have been cleared.	Public Library (ILS Operations)	10 years from the date of purging.		Confidential
DPL-160	Parent Release Form for Live Animal Programs	Includes: Authorization statement, live animal acknowledgement, child's name/age; parent name, contact number, signature and date.	Public Library (Community Library)	4 years	California Code of Civil Procedure section 337.	Vital
DPL-170	Public Use of Meeting Room Applications	Includes: Name of group, title of applicant, address, telephone number, purpose of the meeting, date, time, duration, library card number, dates, customer's liability insurance with the name of the group, coverage period, limits, deductibles, terms conditions, exclusions, name of insurer, and related information.	Public Library (Community Library)	2 years		Vital
DPL-180	Research Requests	Includes: Date, questions asked, library origin, who the question was referred to, source(s) used, time it took to complete the request, and related information.	Public Library (Community Library)	2 years		Confidential
DPL-190	Special Tax Parcel Levy Files	Includes: Parcel number, owner's name, site address, mailing address, land value, total value, total tax, number of dwelling units, land use, acreage, tax rate, and related information.	Public Library (Support Services)	5 years		Vital
DPL-200	Video Release Employee	Includes: Blanket waiver, use and authorization statements, employee name and signature.	Public Library (Community Library)	4 years	California Code of Civil Procedure section 337	Vital

Los Angeles County Records Retention Schedule

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPR-010	Animal Health Care Records	Contains records of the health and care provided to animals at the park. Includes: Date when last treated, name of veterinarian, and type of treatment.	Parks and Recreation	3 years		Confidential
DPR-020	Historical Artifact Records	Contains detailed description and appraisal of about 90% of objects housed in the museum. Includes: Item name, number, date appraised, and appraisal value.	Parks and Recreation	Permanent		
DPR-030	Benefit Assessment Files	Contains reports and historical files related to policies and procedures established for the administration of the District's benefit assessment. Includes: Policies and procedures established for the administration of the District's benefit assessment, copies of Auditor-Controller's Microfiche of substitute tax bills (now on cd), used in identifying the party or parties to whom tax bills were issued sent annually.	Parks and Recreation	Permanent		Vital
DPR-040	Biological Reports	Contains lists and reports of indigenous animals, species and plants. Includes: Endangered plants and animals report mandated by state and federal government guidelines.	Parks and Recreation	10 years		
DPR-050	Community Development Block Grant Files	Includes: Application, agreement, fiscal and other records supporting monies received and spent, correspondence, reports, and related information.	Parks and Recreation	5 years after grant ends and final financial report submitted	24 CFR 85.42	
DPR-060	Concession Payment Records	Includes: Statements, late payment notices, reports of monies received, correspondence, and related records.	Parks and Recreation	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
DPR-070	Construction and Planning Project Files	Includes: Construction files, mitigation reports, surveys of archeological inventory, correspondence, and related records.	Parks and Recreation	Permanent		
DPR-080	Environmental Impact Reports	Contains reports, supporting documentation, and related records.	Parks and Recreation	Permanent		
DPR-090	Facilities Use Permits	Includes: Alcohol, film, park facility rental, fish & game, U.S. forest service, animal care, and other permits.	Parks and Recreation	2 years after permit expires		
DPR-100	Facility Fee Recapitulation Records	Contains records of revenue generated from vehicle entrance fees. Includes: Annual vehicle pass, facility rental, overnight camping and special events fees.	Parks and Recreation	5 years and audit completed	CFM 9.1.6	Vital
DPR-110	Facility Guide Books and Schedules	Contains directory listing all County Parks. Includes: Name, address, phone number, rules, and operating hours.	Parks and Recreation	Until superseded, then 2 years	Cal Gov Code 26202	
DPR-120	Facility Reservations Records	Includes: Applications, proof of insurance, copies of payment method, alcohol permits, security guard contracts, and related records.	Parks and Recreation	2 years after event takes place		Vital

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPR-130	Inspection Records	Contains inspection reports of all departmental facilities, including building, playground, fruit flies, and others.	Parks and Recreation	5 years		
DPR-140	Insurance Policies and Certificates	Contains insurance policies and certificates for all parks and facilities. Includes: Issuance date, location, and expiration.	Parks and Recreation	5 years after policy expires		
DPR-150	Juvenile Justice Crime Prevention Act Records	Contains grant and fiscal records used to educate and keep youth out of trouble.	Parks and Recreation	5 years after grant ends and final financial report submitted		
DPR-160	Landscaping and Lighting Act Districts Records	Includes: District assessments, operational and management records, correspondence, and related records.	Parks and Recreation	Permanent: Assessment records; 5 years: All other records		Vital
DPR-170	Lifeguard Training Records	Includes: Date, location, name, certification, and related information.	Parks and Recreation	Move to employee personnel file		Confidential
DPR-180	Morales Plaza Reports	Contains correspondence, repairs, renovations, upkeep, and other records.	Parks and Recreation	5 years		
DPR-190	Off-Highway Vehicle Use Property Files	Contains records for property designated for off-highway (off-road vehicles) to use. Includes: Parcel maps, construction drawings, and all correspondence to and from constituents, committees, board offices and various departments.	Parks and Recreation	Permanent		Vital
DPR-200	Park and Nature Center Logs	Includes: Employee, animal care, volunteer, student naturalist, facility, and other management and operations logs.	Parks and Recreation	2 years	Cal Gov Code 26202	
DPR-210	Park Development Project Records	Contains records pertaining to various phases of projects administered by Parks and Recreation. Includes: Environmental laws, historical data, contracts, agreements, insurance documents, parcel maps, construction drawings, and all correspondence to and from constituents, committees, board offices and various departments.	Parks and Recreation	Permanent		Vital
DPR-220	Park Locator System Database	Contains physical address, maps, directions, and other information to help locate County parks.	Parks and Recreation	Until information is superseded		
DPR-230	Park Planning Reports and Records	Contains preliminary reports initiated by patron or developer who wants a park constructed near them or at their development site. Includes: Reports, plans, project management documents, research, inventories, and related records dealing with park planning projects.	Parks and Recreation	Permanent: Successful projects; 5 years: Projects denied		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPR-240	Pesticide Use Reports	Includes: Inspection report, pest management worksheet, episode records, analysis report, copy of state license, sprayer recommendation, spray log, and related records.	Parks and Recreation	2 years	3 CCR 6624	
DPR-250	Rain Gauge Reports	Includes: Location, date, amount, and related information.	Parks and Recreation	3 years		
DPR-260	Recreational Program Files	Contain information on program administered by the department, including snack lunch, adventure nature camp, Jr ranger, youth worker, and others. Includes: Reports, registration forms, rosters, attendance log sheets, program information, programs, and related records.	Parks and Recreation	5 years		
DPR-270	Regional Park and Open Space Records	Contains records generated by Regional Park and Open Space district, which is created by voter rights under Proposition A. Includes: Project agreements, contracts, grant files, budget, proposals, expenditure reports, payments, payment requests, payment reconciliation, acquisition reports, status reports, audit reports, policies and procedures, annual reports, litigation reports, correspondence, and related documents.	Parks and Recreation	Permanent		Vital
DPR-280	Security Incident Reports	Includes: Incident reports and supporting records.	Parks and Recreation	5 years		Confidential
DPR-290	Tract Maps	Includes: Park boundaries, facilities, landscaping, topography, wildlife sanctuary, tract, parcel, construction, and other maps and drawings.	Parks and Recreation	Permanent		
DPR-300	Volunteer Applications	Includes: Name, contact information, waiver, assigned location, and related information.	Parks and Recreation	2 year after termination		Confidential
DPR-310	Well Water Testing	Includes: Bacteriological tests, water test rates, method worksheet, and related records.	Parks and Recreation	6 years to include the last two onsite audits		Vital
DPR-320	Audits and Compliance	Internal Control Certification Program and Audit Documents	Parks and Recreation	Permanent		Confidential
DPR-330	Investigations	Disciplinary Investigations, Discrimination Complaints and Case Files (External and Internal), Fraud Investigations	Parks and Recreation	Permanent		Confidential
DPR-340	Human Resouces	Fingerprint Results & Log, Recruitment Exam Files, Work Permit Records	Parks and Recreation	Current year +7 years		Confidential
DPR-350	Financial Management	Acquisition Database, Item Control, Journal Vouchers, Plan of Revenue and Expenditure Reports, Substitute Tax Bill Records	Parks and Recreation	Current year +5 years		
DPR-360	Fees and Charges; Voyager Cards	Fees and Charges Files, Voyager Card Policy Agreements and Authorization Forms	Parks and Recreation	Permanent		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPR-370	Payment Vouchers	1. Payment vouchers for Board Approved Ground Maintenance Contracts for the Operating Budget and Special Districts. 2. Payment vouchers for Golf Development, miscellaneous charges for travel, training and Special Funds. Petty Cash replenishment vouchers. 3. Payment Vouchers for construction contracts and as needed contracts. 4. Payment vouchers for Board Approved Contracts for Capital Projects. 5. Payment vouchers for Utilities such as Water, Electricity, and Gas for Oeprating Budget and Special Districts. Files contain original invoices, and supporting documents (Board approved Contracts, Agreements, Memos, etc.)	Parks and Recreation	Current Year + 5 Years		
DPR-380	Payment Vouchers for Utilities	Utilities such as Water, Electricity, Gas, Cell Phone, Security Cameras and Pager. The files consist of invoices and copies of the warrant.	Parks and Recreation	Current Year + 5 Years		
DPR-390	Journal Vouchers	Consists of JVCT's and JVA's along with a detail summary report of transactions generated from FoxPro Accounting database and the Los Angeles County Registration and Register System (LACARRS) Revenue reports. They are used to facilitate revenue transfer from miscellaneous trust accounts to department revenue for various funds. In addition, sometimes they are used to correct posting errors, and transfer between funds.	Parks and Recreation	Current Year + 5 Years		
DPR-400	Daily Bank of America Bamtrac	This file consists report of transactions for deposits made by field staff at various Parks for daily collections.	Parks and Recreation	Current Year + 5 Years		
DPR-410	Deposit Permits	The file consists of the original Deposit Permit (DP) prepared by the Accounting Office staff along with the back up documentation such as copies of invoices, checks, memoranda and any supporting documentation such as departmental receipts, etc.	Parks and Recreation	Current Year + 5 Years		
DPR-420	Revenue & Expenditure Vouchers	Consists of Revenue (RV) and Expenditure Vouchers (EV) along with supporting documentation such as memoranda and CAPS reports. Both the RV and EV are prepared by our Department. They are prepared to correct or reclassify within the same fund org codes, revenue and expenditure accounts, and program codes.	Parks and Recreation	Current Year + 5 Years		
DPR-430	Departmental Receipts (DR) and Bank Deposits	Pink DR copies sent by the field offices used to record the receipt of money. Copies of bank deposit slips that accompany the daily deposits by field staff at various Parks to Bank of America. LACARRS reports and payment information.	Parks and Recreation	Current Year + 5 Years		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPR-440	Internal Vouchers to and from other County Departments	County document Internal Vouchers are used to facilitate billing for services among County Departments.	Parks and Recreation	Current Year + 5 Years		
DPR-450	Departmental Service Order	Document used by all County Departments to reserve money for services Provided by other departments.	Parks and Recreation	Current Year + 5 Years		
DPR-460	Accounts Receivable (RE) Invoices	Accounts Receivable Invoices are created to bill outside customers for services. Also, RE is created to record revenue collections for Concessions and Golf Courses.	Parks and Recreation	Current Year + 5 Years		
DPR-470	Warrant Register	Report maintained by Accounting staff that lists all auditor warrants issued to various vendors	Parks and Recreation	Current Year + 5 Years		
DPR-480	Work orders for various jobs	Internal form that is used to determine and calculate cost estimates for various Capital Projects and Special Development Projects	Parks and Recreation	Current Year + 5 Years		
DPR-490	Petty Cash Invoices, Vouchers, and log	To record expenses out of petty cash.	Parks and Recreation	Current Year + 5 Years		
DPR-500	Incidental Expense Invoices and Vouchers	To account for expenses against incidental expense.	Parks and Recreation	Current Year + 5 Years		
DPR-510	Concession Payment History	Monthly Concession Statement of gross revenue, net revenue, late payment notices and letters.	Parks and Recreation	Current Year + 5 Years		
DPR-520	Special Recreation Expense Claims	Consists of Expense Claims and suporting documents (invoices, Specialist Yearly Agreement, Insurance, etc.) submitted by field staff at various Parks and processed expenses against special recreation funds for Special Recriation programs and events.	Parks and Recreation	Current Year + 5 Years		
DPR-530	Trust Accounts	History Documents for various trust funds	Parks and Recreation	Current Year + 5 Years		
DPR-540	Trust Funds - Reconciliation	Reconciliation records for Trust funds	Parks and Recreation	Current Year + 5 Years		
DPR-550	Cancelled Checks	Requests for check cancellations of undeliverable/unneeded checks.	Parks and Recreation	Current Year + 5 Years		
DPR-560	Bank Reconciliation	Reconciliation records for bank accounts	Parks and Recreation	Current Year + 5 Years		
DPR-570	P&R 81	Permit for use of Facility. Field staff will fill out permit application and send a copy to Accounting. Accounting will maintain a file of all P&R 81 submitted.	Parks and Recreation	Current Year + 5 Years		
DPR-580	P&R 82	Application and a permit for use of Regional Park. Field staff will fill out application and send a copy to Accounting. Accounting will maintain a file of all P&R 82 submitted.	Parks and Recreation	Current Year + 5 Years		
DPR-590	Refund Requests	Consists of documents processed for refunds for security deposits or event cancellations to patrons. Once submitted to Accounting, the document will be processed for refund.	Parks and Recreation	Current Year + 5 Years		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPR-600	Vehicle Entry and Boat Permits recap sheet	Accounts for the sale of Vehicle entry and boat permits at our various facilities. Once collected the field staff will submit to accounting. The document will be used as backup documentation to post revenue and will be maintained in a file.	Parks and Recreation	Current Year + 5 Years		
DPR-610	Collection Referrals	Document that will be used to refer unpaid receivables for collection to TTC.	Parks and Recreation	Current Year + 5 Years		
DPR-620	Cost Accounting Documents	Constis of Mileage Equipement forms, Time Card adjustment/correction documents, and Warehouse Requisitions.	Parks and Recreation	Current Year + 5 Years		
DPR-630	Contracts and Agreements	Board aprpoved contracts and Concessions and Management Lease Contracts Agreements for various types.	Parks and Recreation	Current Year + 5 Years		

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Los Angeles County Records Retention Schedule

Public Works (DPW) Version 0 10/22/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-010	Airport Inspection Reports	Contains airport inspection reports detailing airport compliance with rules and regulations.	Department of Public Works	Permanent		
DPW-020	Assessment Books	Contains maps and engineering calculations.	Department of Public Works	Permanent		
DPW-030	Assessment District Files	Contains 1911 and 1913 Act municipal improvement assessment districts files for the construction of sewer systems, conversion of private roads to public roads, construction of water systems, construction of dewatering, and other land movement stabilization measures.	Department of Public Works	Permanent		
DPW-040	Aviation Construction Loan Finance Records	Contains State loan data detailing loans acquired to build hangars or fuel pits on county owned airports. Includes: Correspondence, spread sheets, cost estimates, and remunerable work records.	Department of Public Works	5 years after receipt of final payment	21 CCR 4056	
DPW-050	Aviation Real Property Records	Includes: Land appraisals, acquisitions, building inventories, and related records.	Department of Public Works	Permanent		
DPW-060	Benchmark Records	Contains current and historical information files on points of elevation.	Department of Public Works	Permanent		
DPW-070	Benefit Assessment Program Files	Contains revenue collection, financing and transactional records for construction projects.	Department of Public Works	5 years after final project fiscal report submitted and any required audits completed or 5 years after assessment has been terminated, whichever is later.		
DPW-080	Bond Issuance Files	Contains records related to subdivision bonds, performance bonds, payment bonds, and bid bonds issuance.	Department of Public Works	5 years after termination of the bond.	Cal Civil Procedures Code 337.5	
DPW-090	Building and Other Use Permits	Contains building, zoning, highway, drain, shoring, flood, tract, underground storage tank, storage tank, and other permits. Includes: Applications, supporting records, permits issued, correspondence, and related records.	Department of Public Works	Permanent	40 CFR 122.21	
DPW-100	Building and Other Use Plans and Drawings	Contains as-built and final plans and drawings for County buildings bridges, dams, water system, and other structures.	Department of Public Works	Permanent	Cal Health & Safety Code 19850	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-110	Building Codes	Includes: Building code chapter files, Los Angeles County ordinance, by-laws for graffiti abatement and vandalism, landscape codes, and building code changes.	Department of Public Works	Permanent		
DPW-120	Capital Project Files	Contains compliance records for construction and maintenance projects. Includes: Task orders, Board actions/letters consultant services agreement, geological, biological and archeological reports, permits issued by requested agencies, inspection videos, as-built plans, notice to proceed, administrative records, fees schedules, invoice tracking, environmental clearances, negative declarations, and building plan checks.	Department of Public Works	Permanent: Capital Project Files related to As-builts, CAD files, calculations, construction photos, jurisdictional approval sets, Operation and Maintenance Manuals, permit sets, record drawings, shop drawings, Specifications, and technical reports; 10 years after the project is closed: All other records.	CCP 337.15	
DPW-130	Clean-Out Operation Files	Includes: Waste disposal invoices, inspection reports, abandoned vehicle reports, street sweeper files (routes/maps and procedures), and garbage disposal files.	Department of Public Works	6 years: Disposal records; 3 years: All other records	County Code 20.60.020	
DPW-140	Code Enforcement Case Files	Contains documentation of measures taken for code violations. Includes: Inspections, violation letters, photographs, correspondence, evidence of remedial actions taken, and related record.	Public Works	Permanent: Record of violation and remedial action taken; 5 years after matter settled: All other records		
DPW-150	Computer Aided Drafting and Design System (CADD)	Contains maps generated by Survey Division's Computer Aided Drafting and Design (CADD) Section for various requesting Divisions Includes: Raw data collected from field crews, distance and measurement angles, and reference points.	Department of Public Works	Until superseded		
DPW-160	Consolidated Sewer Maintenance District (CSMD) Annexation Files	Includes: Facility right of ways, easement documents, sewer maps, and related records.	Department of Public Works	Permanent		
DPW-170	Dam and Reservoir Structural Maintenance and Testing Records	Contains records from Morris Dam, Devil's Gate Dam, San Gabriel Dam operations, and reservoir sluicing. Includes: Maintenance hydrologic reports, contraction-expansion joint measurements, measurements on tendons, extensometers, expansion joints, and crack points.	Department of Public Works	Permanent		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-180	Dial-A-Ride Project Files	Includes: Correspondence, memos, invoices, plans, reports, and studies.		3 years after the year the funds were allocated and audit for the year completed, whichever is longer	Proposition A and Proposition C Local Return Guidelines, Section V	
DPW-190	Dig Alert Tickets	Underground alert notifications for marking by the Department.	Department of Public Works	2 years	Cal Gov Code 26202	
DPW-200	Disposal Facility Site Planning Records	Contains planning and other records related to siting disposal facilities.	Department of Public Works	Permanent		
DPW-210	District Water System Occupancy Record	Includes: Dam visitation sign in log sheet, various postings required by Cal OSHA and Departmental information, hydraulic operator manuals, cylinder assembly details, and material safety data sheets.	Department of Public Works	5 years		
DPW-220	Employees Driving Records	Contains employee Department of Motor Vehicles driving record. Includes: Date last updated, the name of employee, and any accident reported.	Department of Public Works	Until employee leaves service, then move to employee personnel file		Confidential
DPW-230	Environmental Impact Reports	Contains records required by the California Environmental Quality Act to inform governmental decision-makers and the public about potential and significant environmental effects of a proposed project. Includes: Reports, supporting documentation, and related records.	Department of Public Works	Permanent		
DPW-240	Flood Control System Files	Contains records related to reservoir water surface elevations, water conservation, and dam history. Includes: Channel inspections, dam project files, miscellaneous transfer drain maps, deeds, legal recordings, debris basin background, facility correspondence, facility subject files, facility working files, waterworks, sewers and pump stations projects and agreement plans, engineering geology investigation reports, drilling logs, well construction, photos, flood inspection video recordings, piezometer and drain test results, seismic graphs, deformation records, field books, survey data and rehabilitation, upgrades and repairs of existing facilities.	Department of Public Works	Permanent		
DPW-250	Flood Maintenance Reports and Inspections	Contains hydraulic, industrial injury catch basin mitigation monitoring, 90-day terminal, piezometers, leakage, pesticide use, seismic shock, and others.	Department of Public Works	10 years	3 CCR 6624; 7 US Code 136i-1(a)(i)	
DPW-260	Fraud Hotline Investigation Files	Includes: Investigation workpapers, hard drives and compact discs containing evidence, final investigation report, and related information.	Department of Public Works	5 years after investigation is closed		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-270	Garbage Disposal Districts and Franchise Records	Includes: Agreements, invoices, diversion reports, correspondence, and historical data related to solid waste collection containers	Department of Public Works	Permanent: Franchise agreements and related records; 10 years: All other records		
DPW-280	Graffiti Removal System	Contains online system for reporting graffiti removal referrals in the L.A. County Area. Includes: Tracking data such as: date of call in & removal, square feet removed in each zero tolerance zone, & statistics.	Department of Public Works	2 years		
DPW-290	Hazardous and Solid Waste Facility Records	Includes: Operating plans, reports, surveys, studies, supporting documents, inspections, statistical tracking of public contact requests or activities, monitoring reports, engineering plans, disposal data, enforcement documents, incident reporting, remedial actions, and related records.	Department of Public Works	Permanent: Hazardous waste received and treatment, storage, and disposal records; Until facility closure is completed:: Engineering plans, operating plans, reports, studies, monitoring and testing, and enforcement and remedial actions; 6 years: Incident reporting, inspections, and contact request tracking	County Code 20.60.020; County Code 20.88; 40 CFR 270.30(j)(2); 40 CFR 262.40(b); 40 CFR 262.44(b); 40 CFR 262.41; 40 CFR 262.42; 40 CFR 264.73(b); 40 CFR 264.1089(a); 40 CFR 265.15(d); 40 CFR 265.1035(d); 40 CFR 264.73(b)(1); 40 CFR 264.71(a)(ii)(v); 40. CFR 271.11(b)	
DPW-300	Hydraulic Records	Includes: Reports, calculations, data books, alignments, plans, profiles, and related records.	Department of Public Works	Permanent		
DPW-310	Indexed Area Maps	Provides location reference information for specific recorded maps, field notes, and benchmarks.	Department of Public Works	Permanent		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-320	Industrial Hygiene Reports	Contains testing for personal exposure and results. Includes: Air monitoring reports, asbestos and lead sampling reports, noise evaluation reports, and job task analysis reports.	Department of Public Works	40 years after the employee leaves service or report , except for employee audiometric tests: Until employee leaves service: Audiometric testing	29 CFR 1910.1450(j)(1); 29 CFR 1910.1020(d)(1)(ii); 29 CFR 1910.1020(d)(1)(ii); 29 CFR 1910.1025(n)(1)(iii); 29 CFR 1910.1025 Appendix B and C; 29 CFR 1910.1001(m)(1)(iii)	
DPW-330	Internal Service Fund	Consists of records related to rate analysis for the Internal Service Fund. Includes, but is not limited to • Worksheets/schedules for analysis and projections • Expenditure and Revenue reports • Other documentation (emails, customized reports, etc.)	Department of Public Works	Permanent		
DPW-340	Jurisdiction Relinquishment Records	Contains documentation of relinquishments. Includes: Board letters, resolutions, property transaction, and related records.	Department of Public Works	Permanent		
DPW-350	Landslide Records	Includes: Seismic movement studies, reports, and notes monitoring the movement of landslides.	Department of Public Works	Permanent		
DPW-360	Lighting District Files	Includes: Board letters, petitions, aperture cards containing information related to street vacation documents, flood right of ways, assessor information, map history, and related records.	Department of Public Works	Permanent: Completed annexations; 5 years: Annexation petition denied		
DPW-370	Local Worker Hiring Program	Contains reports, presentations, plans, and related records. Includes: Contractors, projects, openings, job contact, and related information.	Department of Public Works	Termination of Contract + 5 years and audits completed		
DPW-380	Mail Order Communication Requests	Correspondence from customers utilizing the Optional Technical Research Program. Includes: Original requests, information supplied in response, credit card, billing, and shipping information.	Department of Public Works	5 years: Billing records; 2 years: All other records		
DPW-390	Maintenance Management System (MMS)	Contains tracking data for street maintenance records, infrastructure and maintenance work in road, flood, waterworks and sewer divisions, operational services divisions, facilities management and graffiti abatement groups. Includes: Signs, stripes, colored curb, roads, flood control channels, storm drains, spreading grounds, dams, sewer manholes and pipes, water and sewage pumping plants, water meters, and pumps.	Department of Public Works	Permanent		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-400	Map Certificates of Correction	Corrections to recorded maps.	Department of Public Works	Permanent		
DPW-410	Maps and Plats	Contains project, construction, utility, road and highway, flood, drainage, landfill, cemetery, and other maps and plats.	Department of Public Works	Permanent		
DPW-420	Mass Transit Project Files	Contains Mass Transit project files. Includes: Transit reports, transit records, correspondence, memos, invoices, plans, reports, studies, daily drivers' log, public transit user guides, and time schedules.	Department of Public Works	4 years from close of fiscal year expenditure	21 CCR 6637	
DPW-430	Materials Laboratory Nuclear Certification Records	Includes: Licenses and amendments, employee certifications, calibrations, inspections, maintenance and leaks, film badge data, and related records.	Department of Public Works	5 years after employee leaves service: Certifications; 3 years after license expires: All others	10 CFR 30.51(a)(1); 10 CFR 20.2107(f); 10 CFR 20.2103(a); 10 CFR 20.2102(b)	Radiation and nuclear gauge calibration data, film badge data, radio active license amendments, must be kept as along as DPW has a Radio Active Materials License
DPW-440	Materials Laboratory Test Records	Contains laboratory test data for mechanical, code enforcement, and paving materials. Includes: Concrete mix specifications, rubberized asphalt test data, laboratory test results on pavement, and related records.	Department of Public Works	7 years after the project the test was part of ends: Federal project testing; 2 years after the project the test was part of ends: All others		
DPW-450	Methane Gas Use Records	Contains plans, permits, and reports. Includes: Site name, site location, date, inspector's name, and any violations/citations issued.	Department of Public Works	Permanent		
DPW-460	Metro Scan Database	Used to look up easements, right-a-way, or ownership information.	Department of Public Works	Until superseded		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-470	Pepperdine Hydrogeology Monitoring Program (HMP) Reports	Contains mid-year and annual reports of Pepperdine University hydrogeology monitoring program.	Department of Public Works	Permanent		
DPW-480	Primary Control Station Records	Contains index cards escribing survey stations and State Plane Coordinates used in determining property lines and section lines for public lands. Includes: Monument descriptions, locations, and other information used in land surveys.	Department of Public Works	Permanent		
DPW-490	Project Design Files	Contains design files for Public Works projects on road improvements, bridge widening, bridge barrier rail replacement, retaining walls, landscaping, and other projects. Includes: Preliminary designs, reports, analyses, final design, correspondence, and related records.	Department of Public Works	Permanent		
DPW-500	Public Works Special Studies	Contains special studies reports on storm drains and debris basins, overflow studies for channels and washes, sedimentation studies, traffic studies, and spreading grounds expenditure study.	Department of Public Works	Until study is superseded by new study or changed conditions.		
DPW-510	Real Property Records	Contains records pertaining to the acquisition and conditions of real property in the County. Includes: Real estate title forms, title examinations and reports, recorded County documents, annexations to Special Districts, legal descriptions and right of way information, city annexations maps, legal descriptions of city annexations, house numbering maps for contract cities and related correspondence, easements, storm drain easements, and waiver certificate of compliance deeds.	Department of Public Works	Permanent		
DPW-520	Recycling Program Records	Contains recycling records from single use bag reduction and construction and demolition debris recycling programs. Includes: Recycle and reuse plans, amendments, final compliance reports, and corresponding memos/additional information.	Department of Public Works	5 years		
DPW-530	Right of Way and Easement Records	Includes: County rights of way, easement dedications and vacations, road easement dedications, offers for conditional use permits, certificates of compliance clearance, and related records.	Department of Public Works	Permanent		
DPW-540	Road Maintenance Reports and Inspections	Contains facility, terminal, pavement, drainage, and related inspections and reports.	Department of Public Works	5 years		
DPW-550	Sewage Pump Station Records	Includes: Design drawings, operational data, and related records.	Department of Public Works	Permanent: Design drawings; 10 years after station goes out of service: All other records		
DPW-560	Sewer Condition Assessment Project Files	Includes: Inspection videos, photographs, assessment reports, and supporting records.	Department of Public Works	10 years		

Public Works (DPW) Version 0 10/22/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-570	Sewer Plan Checks and Maintenance Records	Contains sewer plan checks for cities within Consolidated Sewer Maintenance District. Includes: Approved and pending plans for sewer improvement, sewer maintenance comments for environmental impacts reports, second unit certification letters, and related records.	Department of Public Works	Permanent		
DPW-580	Solid Waste Business Licenses	Includes: Business license referrals from Treasurer-Tax Collector, status reports for businesses and documentation obtained from the businesses.	Department of Public Works	6 years after license expires	County Code 20.60.020	
DPW-590	Solid Waste Management Fee Audit Files	Includes: Audit reports and work papers used to determine and measure the volume of solid waste received, collected, recycled, reused, conveyed, or hauled monthly at an operator's disposal sites and transfer stations.	Department of Public Works	10 years		
DPW-600	Surface Mining Quarry Inspection Records	Includes: Correspondence, reports, annual inspections, surface mining reclamation surety bonds, copies of paid invoices, executed contracts or agreements, and related records.	Department of Public Works	Permanent		
DPW-610	Traffic Accident Reports	Includes: Traffic collision reports from the California Highway Patrol, accident studies, and related records.	Department of Public Works	5 years		
DPW-620	Traffic and Lighting Maintenance Project Records	Contains documentation of traffic and lighting maintenance and improvement projects. Includes: Agreements, system specifications, studies, original estimates, change orders, invoices and supporting financial documentation, committee meeting minutes, committee reviews, and related records.	Department of Public Works	3 years after final payment under the agreement and all required audits completed	Los Angeles County Metropolitan Transportation Authority Memoranda of Understanding, Section 5.3	
DPW-630	Traffic Counts	Contains machine and manual counts of vehicles and pedestrians traveling through County roadways.	Department of Public Works	5 years		
DPW-640	Traffic Signal System Project Files	Includes: Signal system specifications, signal timing sheets, studies, calculations, modifications, and related records.	Department of Public Works	10 years after system goes out of service		
DPW-650	Treatment Plant Rehabilitation Files	Includes: Engineering documents, drawings, plans, specifications, loan payment records, and related records.	Department of Public Works	Permanent		
DPW-660	Unmet Drainage Need Files	Includes: Maps that show extent of flooding, pictures of locations, cost estimates to remedy, and related records.	Department of Public Works	10 years		
DPW-670	Utility Billing Records	Contains billings and other expenditure records.	Department of Public Works	5 years		

Public Works (DPW) Version 0 10/22/2013						
RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
DPW-680	Water and Sewer Facilities Records	Contains inspection reports from water, water conservation facilities, and sewer systems divisions. Includes: National Pollutant Discharge Elimination Systems (NPDES) permits, and public agency activity program and site visit program inspection documents.	Department of Public Works	Active life of the facility: Groundwater monitoring related; 10 years: Permits and supporting historical data and calculations for NPDES permit renewal; 5 years: for other records	40 CFR 265.94(a)(1); 40 CFR 265.94(b)(1); 40 CFR 122.41(j)(2); 40 CFR 122.44(i)(4)(ii); 40 CFR 125.88(a)	
DPW-690	Water Service Customer Account Records	Includes: Applications for water service, account information, water inspection reports, correspondence and billing information.	Department of Public Works	5 years and audited: Financial records; 3 years or until account closed: All other records	CFM 9.1.6	

Los Angeles County Records Retention Schedule

Fire (FIR) Version 0 10/25/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
FIR-010	Arson Investigation Records	Includes: Location, date, time, type of arson, equipment used, hydrant used, evidence reports, investigation narratives, crime scene reports, damage estimate of fir, deaths from fire, video & audio testimony, and witness testimony.	Fire	Permanent: Capital offense; 10 years: Non-capital offense		Vital and Confidential
FIR-020	Badge Inventory and Audits	Includes: Database of badge history for active and retired uniform employees, inventories, and audits.	Fire	Permanent	County Code 5.64	Vital
FIR-030	Billing Rates	Contains documents used to support billing rates. Includes: Heavy equipment rates, helicopter rates, health hazardous materials rate, developer fee, master labor list, uniform position cost, indirect cost proposals, and indirect cost expense rate.	Fire	5 years		Vital
FIR-040	Building Plans and Specifications	Contains plans, specifications, and correspondence relating to fire safety inspector's review of architectural or design blueprints and schematics for adherence to the fire code compliance requirements.	Fire	Retain for life of building		Vital
FIR-050	Brush Clearance Records	Contains documents maintained by the Fire Department regarding clearing of bush or vegetation from a lot to reduce property damage due to wild fires. Includes: Bush clearance inspections form 410B, notices to land owners, photographs, work orders, restitution estimates, and correspondence.	Fire	3 years after final action or case closed		
FIR-060	Business Inspection Records	Contains documents generated in the course of ensuring that business owners/operators are in compliance with environmental law and regulation requirements. Includes: Name of business, address, name of inspector, observations, field notes, photographs, interview statements, hazardous waste manifests, inspection reports, occupancy inspections, and correspondence.	Fire	5 years	27 CCR 15185 (c)	
FIR-070	California Incident Command Certification System (CICCS) Records	Includes: Incident qualifications cards (red cards) and related records.	Fire	5 years		Vital
FIR-080	California Law Enforcement Telecommunications (CLETS) System Records	Includes: Program information, dispatcher training and background checks, schedules, and related records.	Fire	5 years		Vital
FIR-090	Candidate Physical Ability Test (CPAT)	Includes: Name, date, CPAT proctor verification records, fitness assessment test scores, and release form.	Fire	Move to employee personnel file: Hired applicants; 2 years: Applicants not hired		Vital and Confidential
FIR-100	Candidate Training Records	Contains candidate and recruits indoctrination records: Includes: Curriculum, attendance records, date, training materials, and name of instructor.	Fire	5 years		Vital and Confidential

Fire (FIR) Version 0 10/25/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
FIR-110	Certified Unified Program Files	Contains documents required by State of California under the Unified Program. Includes: Name and address of the business owner/operator, the nature of the business activities, the equipment used, types and amounts of hazardous waste and the chemicals handled or generated at the business, application forms, business identification forms, annual audit report, transportation manifests, non-handler declaration forms, remote waste consolidation forms, worksheets, analysis, customer files, lien documentation,	Fire	5 years	27 CCR 15185 (c)	Vital
FIR-120	Chemical Analysis Laboratory Results	Consists of environmental sample chemical results from certified laboratories. Includes: Sample number, chemical tests performed, analytical results, quality assurance laboratory results from the laboratory, field notes, photographs, sample labels and documentation to identify the sample location, business address, and type of sample.	Fire	5 years	27 CCR 15185 (c)	Vital
FIR-130	Controlled Drug Inventory Records	Contains forms used to track and account of all controlled drugs. Includes: Controlled drug inventory log, medication ordering and pick up forms, and controlled drugs reporting forms 271, 272, and 671.	Fire	10 years: Audit records; 5 years: All other records	21 CFR 1304.04	Vital
FIR-140	Driver Engineer Information Cards	Contains personal data on driver engineers. Includes: Operator license number, vehicle assigned, class, restrictions, medical, endorsements, and copy of driver's license.	Fire	2 years after employment terminates		Confidential
FIR-150	Emergency Medical Service Report Form	Includes: Incident number, date, patient identification, documentation of assessments, services or treatments delivered, attendant completing the form, and related information.	Fire	7 years: Adults; 1 year after minor reaches the age of 18 and not less than 7 years following the service to the minor.	22 CCR 75055(a); 42 CFR 482.24; 45 CFR 164.530(j); 9 CCR 784.28;	Confidential
FIR-160	Emergency Medical Services (EMS) Continuing Education (CE) Records	Contains State-mandated education records. Includes: Lesson plans, course outlines, course objectives, instructor resumes/curriculum vitae, course evaluations/post tests, and course rosters.	Fire	5 years		Vital
FIR-170	911 Emergency Calls	Recordings of 911 emergency calls.	Fire	TBD		
FIR-180	Emergency Rescue Logs and Records	Contains records of dispatch responses to incoming calls or alarms. Includes: Incident, alarm, or box numbers, location, time received, origin of call, arrival time, type of response (engine number or rescue), description, recall or elapsed time of vehicle responding, 911 call emergency log, rescue boat reports, paramedic log book (447 form).	Fire	3 years		Confidential

Fire (FIR) Version 0 10/25/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
FIR-190	Risk Management Plans	Contains regulated facilities and business plans to deal with an emergency situation such as a chemical release, fire, earthquake, and process malfunction. Includes: Name and address of business, amounts and location of chemical inventories, plans to minimize the risk of chemical release, form 208, type and location of emergency equipment, equipment modification, evacuation and emergency notification procedures, response procedures, emergency contacts, plan review, training requirements, and other contingency plan information. This pertains to the California Accidental Release Prevention Program (CalARP).	Fire	5 years after superseded		Vital
FIR-200	Fire Apparatus Inspection Sheets	Contains records of replacement and accidents sustained to municipal fire/rescue equipment in accordance with LA County Fire Department's mandatory equipment replacement program. Includes: Weekly, monthly inspections, test conducted, diagrams, photographs, and other related documentation.	Fire	3 years after final payment unless in litigation		
FIR-210	Fire Code Permits	Contains fire code permits issued after appropriate supporting documentation, application and fees have been submitted. Includes: Conditional-use permits, firework sales, code inspections, and demolition/explosion permits	Fire	5 years after permit expires		Vital
FIR-220	FleetMaint Database Reports	Contains printed reports from FleetMaint database of deliveries received by parts room and parts and material returned to stock room. Includes: Forms 47, 157, 158, deliveries reports, discrepancy reports,	Fire	5 years or until audited		
FIR-230	Prop 65 Records	Contains chemical release reports, notification forms, worksheets, notification letters to the Board of Supervisors, facility inspections, tests, and related records.	Fire	5 years		
FIR-240	Environmental Impact Reports (EIR)	Contains comments on departments, consultants, and companies generated environmental impact reports and worksheets categorizing and prioritizing sites in terms possible human health or environmental threat posed by hazardous condition.	Fire	Permanent	27 CCR 15185 (c)	Vital
FIR-250	Hazardous Material Incident Reports	Contains records documenting hazardous material incidents. Includes: Type of incident, amount of chemical released, emergency response resources, location, date, time of the incident, casualties or evacuation caused by the incident, and other related information. (27 CCR 15185 (c))	Fire	5 years	27 CCR 15185 (c)	Vital
FIR-260	Hazardous Materials Site Assessment and Remedial Action Plan Reports	Includes: Assessments, investigation records, contamination sample results of the particular site, historical records of the industrial processes at the site, aerial photographs, work plans to take environmental samples, sampling methods and locations, site maps, tier permit forms, quality assurance documentation, work plans, progress reports, amount of material remediated, closure reports, and related records.	Fire	Permanent: Chemical release reports, remediation, and monitoring records: 5 years after facility closes: All other records:		Vital

Fire (FIR) Version 0 10/25/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
FIR-270	Hazardous Waste List	Consists of detailed product/chemical identification listings supplied annually by individual employers that hold, use, or sell products considered hazardous by the US Department of Labor, Division of Occupational Health and Safety. Includes: US Department of Labor forms or material safety data sheets, filed notes, emergency and hazardous chemical inventory forms, company emergency plans, inspection reports, laboratory results, or other mandated documentation relating to hazardous substances. (27 CCR 15185 (c))	Fire	5 years		
FIR-280	Hazardous Waste Tiered Permit Financial Assurance Forms	Includes: Financial assurance forms, annual reports, annual assessments, permits, remediation documentation, and related records.	Fire	5 years after the facility closes		Vital
FIR-290	Hydrant Records	Includes: Location of hydrant, make, size, valve size, and last date checked	Fire	3 years after the life of hydrant		
FIR-300	Maps	Includes: Tract maps, sub-divisions maps, variance maps, water plan maps, zone change maps, design overlay review maps, fire maps, historical fire zone maps, lot line adjustment maps, site maps, site plan review maps, and preliminary and miscellaneous maps.	Fire	Permanent		Vital
FIR-310	Pilot Training Log Books	Contains files reflecting pilots' training courses for department, FAA, and insurance purposes. Includes: Name, date, location, and accreditation.	Fire	5 years		
FIR-320	Staff Certifications and Licenses	Contains certifications, recertification's, and professional licenses issued to department staff, including certified paramedic, fire fighter, hazmat personnel certifications, emergency medical services personnel certifications, fitness trainers, and others.	Fire	7 years after expiration: Paramedic; 5 years after expiration: All other records		Vital
FIR-330	Storage Tank Files	Contains record detailing the installation/removal of individual storage tanks and the storage of flammable or hazardous materials. Includes: Permits for the maintenance, installation, abandonment, or removal of storage tanks, permits for the storage of hazardous/flammable substances, inspection, plans, complaints, memos, and correspondence.	Fire	2 years after tank removed		Vital
FIR-340	Suspicious Fires Investigation Files	Contains records generated through the investigation of suspicious fires, willful and malicious destruction, removal, or tampering with fire hydrants, extinguishers, sprinkler systems, and smoke detectors. Includes: Witness interviews, depositions, search warrants, photographs, surveillance records, evidentiary material, audio tapes, investigation log book, investigation reports, and other related documentation.	Fire	5 years or until case resulting from the investigation has been resolved, whichever is longer		

Fire (FIR) Version 0 10/25/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
FIR-350	Traffic Light Reports	Contains records of traffic lights which department is responsible for maintaining and servicing. Includes: Intersection/signal diagrams, specifications, schematics, and work and repair orders.	Fire	Retain life of signal: Diagrammatic records; 3 years: All other records		
FIR-360	Violation Notices and Citations	Contains administrative notices issued to regulated businesses for violations of laws and regulations. Includes: Date and time of issuance of citation, name and address of business, name of inspector, ordinance violated, and compliance schedule.	Fire	5 years: Hazardous material violations; 3 years after final action: All other records	27 CCR 15185 (c)	
FIR-370	Violations Administrative Hearing Files	Contains legal orders and administrative penalties for violations of Building Codes and California Health and Safety laws and regulations. Includes: Descriptions of specific violations, evidence, photographs, supporting documentation, penalty assessment worksheets, compliance requirements, hearing results, process documentation and action plans.	Fire	3 years after final action or case closed		

Los Angeles County Records Retention Schedule

Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-010	Application Development Documentation	For example: Computer source code, final IVR scripts, specifications, test plans, mock ups, application requirements, application design, program design, test documentation, user documentation, and training documentation.	Internal Services Department	Until system is retired and records created by it have met their retention periods and are disposed of.		Note: System documentation should be kept to help authenticate records it creates in case they are needed for legal proceedings
ISD-020	Asbestos Records	Includes: Building asbestos reports and asbestos database to identify areas in each facility where asbestos may exist. Also, employer shall keep an accurate record of all measurements taken to monitor employee exposure to asbestos. Employer may utilize the services of competent organizations such as industry trade associations and employee associations to maintain required records.	Internal Services Department	30 years	29 CFR 1910.1020; 29 CFR 1910.1001(m)(1)(iii); 29 CFR 1910.1001(m)(2)(iii); 29 CFR 1910.1001(m)(3)(iii)	
ISD-030	Auction Records	Contains records on auctioneers that sell surplus for the County. Includes: Auction Invitation for Bids (IFB), signed auction agreements, bids, photocopy of checks, sold and unsold reports, buyer receipts, and sales records.	Internal Services Department	5 years	CFM 1.3.3.3; CFM 5.2.3; CFM 9.1.6	
ISD-040	Auto Parking Records	Includes: Temporary parking pass information, parking services requests, daily deposits for civic center and outlying, monthly allocations, service reports, parking revenue, City taxes, auto park reports, and parking deduction reports.	Internal Services Department	5 years	CFM 9.1.6	Vital
ISD-050	Billing System Records	Contains billing records for utilities, telephone utilities, customer direct S&S, and ISD operating budget expenditures, and BASIS and KOMAND ad-hoc program records. Includes: Billing reports for internal purposes, client billing reports, billing reconciliation ad hoc reports, tables, error suspense reports, exceeded charges report, ad hoc programs, building and grounds maintenance billing, and custodial services provided.	Internal Services Department	5 years		Vital

Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-060	Countywide Acquisition Management Information System ("CAMIS") Records	Includes: CAMIS bids and requisitions, purchase orders, specifications, evaluations, and notes.	Internal Services Department	10 years		CAMIS was retired in January 2011; CAMIS documents would be retained for 10 years from retirement date.
ISD-070	Data Center Operational Records	For example: Office procedures, emergency call back list, employee phone numbers and addresses, and layouts of data center.	Internal Services Department	2 years		Vital
ISD-080	Department of Motor Vehicles (DMV) Audit Logs and data	DMV record access information and log data elements.	Internal Services Department	5 years		Request to exceed the retention period of 5 years must be made in writing to the Department of Motor Vehicles.
ISD-090	Department of Motor Vehicles (DMV) INF 1128 FORMS	DMV Employee Compliance Acknowledgement Forms.	Internal Services Department	Life of the agreement plus 2 years		Form must be renewed annually and maintained for the life of the agreement, and for 2 years following deactivation or termination of the agreement.

Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-100	Enterprise Network Records	Contains network site commissioning data including rack layouts and test data.	Internal Services Department	5 years after site commissioning		
ISD-110	Federal Communication Committee Licenses	Includes: FCC licenses and related correspondence to County departments customers.	Internal Services Department	2 years after license expires		Confidential/ Vital
ISD-120	Federal Surplus Program Records	Contains Board letters and files regarding the purchase of Federal surplus by the County departments. Includes: Invoices, adopted board letters, list of County coordinators with contact information, individual department files with copies of invoice statements, letters, email communications, surplus training class, and handbooks.	Internal Services Department	5 years		
ISD-130	Billing System Rates	Consists of computations of customer billing rates for all ISD lines of business, anticipated annual billable hours, labor cost, and projected income.	Internal Services Department	5 years		
ISD-140	International Business to Business Database Files	Contains records generated by the federally funded database of the Office of Small Business.	Internal Services Department	10 years		Vital
ISD-150	ITS Project Files	Contains supporting documentation for development and execution of projects. For example: Project charters, approvals, narrative description of proposed project, scope of work, project governance organization, estimates to perform project, preliminary risk analysis and approval to proceed, status reports, project schedule, issues lists, risk lists, changes lists, project meeting agenda and minutes, bid documents, award documents, customer requirement documents, and Memorandum of Understanding (MOUs).	Internal Services Department	5 years after project ends		
ISD-160	Job Production Records	Contains logs and reports documenting problems with job productions. Includes: Production problems logs that document problems with computer production jobs, production support procedures pertaining to monitoring and fixing production jobs, and production turnover logs indicating print priorities and hardware status.	Internal Services Department	3 years		
ISD-170	All Contracts	Includes: Agreements, requisitions, solicitations, notes, specifications, amendments, and related records.	Internal Services Department	5 years after agreement expires		Vital
ISD-180	Unit Billing System (UBS) Records	Includes: Unit billing system building tenant cost projections, monthly, year-to-date, and the projected annual billing amounts by activity codes and buildings, and related records.	Internal Services Department	5 years		Vital

Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-190	Progen System Records	Contains reports and database information used to manage job order contract program (JOC) and all other managed projects within the Division.	Internal Services Department	5 years: Reports; Until superseded: Database data		
ISD-200	Road Tracking System Reports	Contains reports generated by road tracking automated system to document mail services drivers performance. Includes: Driver location, destination, duration of driving time, driving speed, and stops made.	Internal Services Department	5 years		Vital
ISD-210	Safety Tailgate Records	Includes: Employee sign-in sheets for OSHA mandated tailgate meetings and copies of all topics discussed in meetings.	Internal Services Department	5 years		Confidential
ISD-220	Small Business Commission Records	Includes: Correspondence, minutes binder, meeting packets/minutes, and tapes of meetings.	Internal Services Department	Permanent		Vital
ISD-230	Small Business Program Records	Includes: Grant applications, invoices, program funds received, expedited payments to certified local small businesses, assistance in resolving payment issues, packages of agendas and meetings minutes, informational packages, workshops, correspondence, and related records.	Internal Services Department	5 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken: Application, award letter, and final expenditure reports; 3 years after final expenditure report: Other grant-related records; 5 years: All other records. **Note:** Department Counsel approval needed before disposing of records	45 CFR 92.36 (i)(11)	If any real property or equipment is purchased under a federal grant, it is to be kept 3 years after its disposition.
ISD-240	Technical Equipment Records	Includes: Maintenance agreements, extension amendments, routine amendments and County annual renewals.	Internal Services Department	5 years after expiration		Confidential
ISD-250	Vehicle Ownership Records	Includes: Purchase price, purchaser, vehicle titles, and vehicle registrations.	Internal Services Department	5 years after vehicle is sold or disposed		Vital
ISD-260	Vendor Software Reports	Includes: Lists of purchased vendor software, vendor software warranty dates, and software license renewal dates.	Internal Services Department	5 years	CFM 4.5.2; CFM 5.2.3	

Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-270	Voice Recordings	Contains recorded phone calls for the following: Agriculture, Public Defender, Public Guardian, Health Services, language lines and providing long distance dialing.	Internal Services Department	3 years		Recordings are stored on CAD NICE Logger Server and archived to the EMC Centera-Storage Area Network (SAN) for a longer term which is up to three years. NICE interacts with the EMC Storage to retrieve and clips from storage

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Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-280	Voice Recordings -- ACD for Help Desk	Contains Automatic Call Distributor (ACD) voice and data recordings.	Internal Services Department	3 years		Recordings are stored on CAD NICE Logger Server and archived to the EMC Centera-Storage Area Network (SAN) for a longer term which is up to three years. NICE interacts with the EMC Storage to retrieve and clips from storage
ISD-290	Voice Recordings -- Superior Court	Contains recordings for Superior Courts, including emergency protective orders and temporary telephonic restraining orders issued.	Internal Services Department	3 years		Recordings are archived to DVD or stored on the server or Storage Area Network (SAN).
ISD-300	Certified Business Enterprise (CBE) Program Records	Contains program applications, certifications, statistical reports, and related records.	Internal Services Department/County-wide Contract Compliance Section (CCCS formerly OAAC)	3 years after certification expires and audits completed		

Internal Services Department (ISD) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
ISD-310	Construction Project Records	Contains pending and current projects. Include: CCCS documents, Notice for bid award, notice to proceed, contracts, amendments, monthly employment utilization reports, notice of sub awards, correspondence, and related records.	Internal Services Department/County-wide Contract Compliance Section (CCCS formerly OAAC)	3 years after CCCS project closing date	Cal. Code Civ. Proc. § 337.1	
ISD-320	Living Wage Ordinance Compliance Program Records	Contains department implementation plan, database of contracts, monitoring forms, notice of meetings, compliance reports, employee interviews, correspondence, and related records. Includes department name, contractor name, employees names, hourly rates, length of contract, and related information.	Internal Services Department/County-wide Contract Compliance Section (CCCS formerly OAAC)	5 years after contract expires and audits completed		
ISD-330	Local Small Business Enterprise (SBE) Certification Program Records	Contains program applications, certifications, statistical reports, and related records.	Internal Services Department/County-wide Contract Compliance Section (CCCS formerly OAAC)	3 years after certification expires and audits completed		
ISD-340	HIPAA Related Records	Includes: System-generated audit logs of system accesses to HIPAA data; manually-created records or logs of system accesses to HIPAA data; HIPAA policies and procedures; HIPAA training records, HIPAA audits/reviews; documentation including emails related to requests for access to HIPAA data; documentation including emails related to HIPAA privacy complaints; documentation including emails related to breach and suspected breach of HIPAA data; documentation including emails related to personnel action resulting from a HIPAA violation or breach;	Internal Services Department	6 years from the date created or date when it was in effect	Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule, Title 45 Code of Federal Regulations (CFR), Section 164.530(j) and Section 164.414(b)	

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Los Angeles County Records Retention Schedule

Museum of Art (LACMA) Version 0 10/10/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
LACMA-010	Art Acquisition, and Donor Files	Includes: Accession data, deeds of gift, appraisal information, donors' copy of tax forms 8283, correspondence,and related records, for artworks owned by Los Angeles County.	Los Angeles County Museum of Art	Permanent		Vital record
LACMA-020	Art Inventory Database System	Includes: Artist, title, accession number, date, media, and related information, for artworks owned by Los Angeles County.	Los Angeles County Museum of Art	Permanent		Vital record

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Los Angeles County Records Retention Schedule

Military and Veterans Affairs (MVA) Version 0 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
MVA-010	Bob Hope Patriotic Hall Artifact Log	Contains donation log and related records. Includes: The name of the artifact, who donated the artifact, date of original use, a description of the artifact, and where location where it's stored	Military and Veterans Affairs	Permanent	Board Policy No. 3.040; Gov't. Code 26202	
MVA-020	Bob Hope Patriotic Hall Event Reservation Records	Contains event rental agreements, amendments, correspondence, and supporting records.	Military and Veterans Affairs	5 years after agreement expires and audits completed	Board Policy No. 3.040; Gov't. Code 26202; CCP 337	
MVA-030	Bob Hope Patriotic Hall Space Leases	Contains space rental agreements, amendments, correspondence, and supporting records.	Military and Veterans Affairs	5 years and audits completed	Board Policy No. 3.040; Gov't. Code 26202; CCP 337; CCP 337.2	
MVA-040	Bob Hope Hall Film Coordinator Reports	Includes: Name, date, time, task description, and related information.	Military and Veterans Affairs	5 years and audits completed	Board Policy No. 3.040; Gov't. Code 26202	
MVA-050	Medi-Cal Reports	Includes: Name, date, description of benefit, amount reimbursed to department, and related information.	Military and Veterans Affairs	3 years provided there are no pending issues, criminal or civil actions	22 CCR 50111	Confidential
MVA-060	State Subvention Reports	Includes: Name, date, social security number, and related information.	Military and Veterans Affairs	5 years and audits completed	Board Policy No. 3.040; Gov't. Code 26202	Confidential
MVA-070	Veterans Advisory Commission Records	Contains minutes, monthly reports, rosters, attendance records, procedures, and related records.	Military and Veterans Affairs	Permanent	Board Policy No. 3.040; Gov't. Code 26202	
MVA-080	Veteran Burial Program Files	Contains notifications and other records concerning burial of indigent veterans and reimbursement of the costs. Includes date, agency name, veteran's name, financial circumstances, cost of burial, location, and related information.	Military and Veterans Affairs	5 years and audits completed	Board Policy No. 3.040; Gov't. Code 26202	Confidential
MVA-090	Veterans Assistance and Medical Programs Claims Files	Contains referrals and other claim records for benefits under Senior Medical Program, Veterans Emergency Direct Assistant Program, and Veterans Welfare and Claims Program. Includes program name, name of claimant, address, date, description of benefits, and related information.	Military and Veterans Affairs	5 years after claim awarded/settled and audits completed	WIC 10851; Board Policy No. 3.040; Gov't. Code 26202	Confidential

Military and Veterans Affairs (MVA) Version 0 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
MVA-100	Veteran Dependents College Fee Waiver Records	Contains application, proof of relationship, notes of any issues or problems, correspondence, and other records.	Military and Veterans Affairs	5 years and audits completed	Board Policy No. 3.040; Gov't. Code 26202	Confidential

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Los Angeles County Records Retention Schedule

Natural History Museum (NHM) Version 0 10/17/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
NHM-010	Collection Records	Contains collections ledgers, catalog cards, site reports, photographs, and field trip records. Includes: Description of object/specimen, date, location, accession data, documentation of releases or returns, documentation of de-accessions, and related information.	Natural History Museum	Permanent		Vital record
NHM-020	Donation Records	Includes: Accession data, deeds of gift, appraisal information, donors' copy of tax forms 8283, correspondence, and related records.	Natural History Museum	Permanent		Vital record
NHM-030	Exhibition Records, including Special and Travelling	Includes: Exhibit description, item descriptions, dates, shipping information, exhibit maintenance, receipts, and related information.	Natural History Museum	Permanent		
NHM-040	Institution Art Exchange Files	Includes: Accession data, receipts, acknowledgement letters, terms of exchange, and related records.	Natural History Museum	Permanent		Vital record
NHM-050	Loan Files	Contains long and short term loan files. Includes: Loan agreements, extensions, certificate of insurance, facility reports, return receipts, shipping receipts, correspondence, and related records.	Natural History Museum	Permanent		Vital record
NHM-060	Purchase Records	Includes: Accession data, receipts, acknowledgement letters, terms of purchase and related records	Natural History Museum	Permanent		Vital record

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Los Angeles County Records Retention Schedule

Assessor (OAS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
OAS-010	1967 Local Roll Files	Contains Assessor's determination of value of government's extra-territorial property in accordance with Article XIII, Section 11 of the California Constitution, by applying a Philips' factor to the property's assessments.	Assessor	Permanent		
OAS-020	Agent Authorization Forms	Contains forms authorizing registered tax agents. Includes name, address, and related information.	Assessor	6 years or until expired.	Cal Rev & Tax Code 465	
OAS-030	Aircraft and Marine Abstract Files	Electronic files that include: Name, address, valuation, and related information.	Assessor	6 years	Cal Rev & Tax Code 465	
OAS-040	Annual Property Statements and Supporting Appraisal Records	Includes: Annual filings of property statements and attachments, annual property transmittals, leasing referral records, business schedules, and miscellaneous appraisal records.	Assessor	10 years	Cal Rev & Tax Code 465	
OAS-050	Apartment Houses Appraisal Statements	Includes: Appraisals and apartment houses property statements.	Assessor	10 years		
OAS-060	Applications for Advanced Appraiser Certification	Contains applications to request State Board of Equalization advanced appraiser certification. Includes: Name, personal information, qualifications, and related information.	Assessor	5 years after certification ends or application denied		
OAS-070	Appraiser Training Records	Consists of training provided for real and personal property appraisers to meet their annual Board of Equalization (BOE) re-certification requirements. Includes: Sign-in sheet, the date of training, training materials, hours approved by the Board for re-certification, and other related documents.	Assessor	5 years		
OAS-080	Arbitrary Reports (ARBs)	Consists of letters from Local Agency Formation Commission (LAFCO) to begin reviewing map book and tax rate areas (TRAs).	Assessor	7 years		
OAS-090	Assessment Appeal Board Case Files	Contains Taxpayer Assessment Appeal Boards (AABs) applications and hearing documents. Includes: Personal and real property AAB's applications, copies of stipulations and status changes, investigation reports, and analysis.	Assessor	5 years after case decided	Cal R&T Code Rule 305	Confidential
OAS-100	Assessment Roll: Valuation and Update Records	Includes: SV64 LA County roll values, SV67 agency roll values, annual roll forecast, SV13 valuation sheets, SV16 assessed parcel volume report, and roll update statistics printout.	Assessor	20 years		Confidential

Assessor (OAS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
OAS-110	Assessment Roll: Secured, Unsecured and Cross Reference	Includes: Name, description, assessed value and related information.	Assessor	Permanent		
OAS-120	Assessor Master Tracing and Property Boundary Map Books	Includes: Number, page, property boundaries, parcel, and related information.	Assessor	Permanent		
OAS-130	Change of Ownership Statement (COS)	Includes: Completed Change of Ownership Statement (COS) form returned by property owners.	Assessor	9 years		
OAS-140	Community Redevelopment Agency (CAR) and Local Agency Formation Commission (LAFCO) Reports	Contains worksheet and summary reports provided to the Auditor-Controller and Chief Administration Office. Includes: Parcels, values, tax rate area, and billing statement.	Assessor	Permanent		
OAS-150	Correspondence: Taxpayers' Inquires	Includes: Public service investigative notes, correspondence from OWN 124, requests for change of taxpayer name and address, change of ownership statements and letters, taxpayers' complaints and resolutions, and related records.	Assessor	7 years	Cal Rev & Tax Code 465	Confidential
OAS-160	Customer Profile and Sales Records	Includes: Customer profile, dates, description of data sold, and related information.	Assessor	6 years		
OAS-170	Department of Public Works (DPW) Proposed District Lines Records	Consists of correspondence and related records to approve or deny DPW map lines with Assessor's maps.	Assessor	2 years after changes in map lines occur		
OAS-180	Description Change Request (DCR)	Contains change request for tract and parcel maps.	Assessor	6 years		
OAS-190	Eminent Domain Investigation Records	Consists of Eminent domain (Proposition 3) reports, investigation record (OWN 56), final results, and related records.	Assessor	7 years	Cal Rev & Tax Code 465	
OAS-200	Geographical Information System Data Records	Includes maps, overlays, and other records comprising the GIS system.	Assessor	Permanent		
OAS-210	Income and Expense Data for Refineries	Contains records of Region 30 refineries. Includes: Expenses, Assessor's local roll data, cost, refinery information, and related records.	Assessor	30 years	Cal Rev & Tax Code 465	Confidential

Assessor (OAS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
OAS-220	Income/Expense Data for Major Real Properties Records (Economic Folders)	Contains records of major real properties, except refineries. Includes: Expenses, sales data, Assessor's local roll data, Assessment Appeals Board's information, valuation, and related records.	Assessor	20 years	Cal Rev & Tax Code 465	
OAS-230	Leasing Referral System Reports	Contains reports generated by the Leasing Referral System database of business equipment reported by the lessee and used for investigation purposes.	Assessor	15 years		
OAS-240	Legal Entity Ownership Program (LEOP) Tracking System Records	Contains records of investigations relating to changes in control or ownership of legal entities.	Assessor	20 years	Cal Rev & Tax Code 465	
OAS-250	Local Tax Roll Files	Contains microfiche data used by the Assessor's office to produce a fair, cost-effective, accurate, and timely assessment. Includes: Annual secured local tax roll, unsecured local roll, and cross-reference roll.	Treasurer & Tax Collector	12 years after tax roll is certified	Cal Rev & Tax Code 4377	Confidential
OAS-260	Major Exemption Claim Records	Contains taxpayers filing of property exemptions. Includes: Claims, applications, and other records.	Assessor	10 Years	Cal Rev & Tax Code 465	Records are kept 4 years from receipt of claim. After 4 years, the records go to archives where they are kept another 6 years for a total of 10 years.
OAS-270	Manufactured Homes Appraisal Records	Includes: Parcel jackets. appraiser notes; misfortune & calamity claims, and property records. Drawings of the structures or improvements and park maps.	Assessor	10 years		
OAS-280	New Construction Exclusion Claim Records	Includes: Claim forms, research documents for new construction exclusion, and related documents.	Assessor	7 years	Cal Rev & Tax Code 465; Board Rule 135 (e)	
OAS-290	Oil Company and Refinery Statements	Includes: Annual property transmittal records, 571L property statement, preprints, and annual mail out letters.	Assessor	30 years	Cal Rev & Tax Code 465	Confidential property statements
OAS-300	Parcel Change Detail List (PCDL)	Contains details of prior parcels and new parcels that are shown after parcels get divided.	Assessor	Permanent		
OAS-310	Parent and Grandparent to Child Transfer (Proposition 58/193) Claims	Includes application, supporting records, and decision made.	Assessor	7 years	Cal Rev & Tax Code 465	

Assessor (OAS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
OAS-320	Personal Properties Audit Records	Contains documents pertaining to audit findings.	Assessor	10 years		
OAS-330	Personal Property Field Books	Contains annual field canvass-for personal properties. Includes: Ownership verifications, appraisal data for business, marine and manufactured homes appraisals.	Assessor	10 years		
OAS-340	Possessory Interest (PI) Records	Includes: Court cases, maps, cross reference roll, and lease information.	Assessor	30 years	Cal Rev & Tax Code 465	
OAS-350	Preliminary Change in Ownership Reports (PCOR)	Includes: Names, address, description, and related information.	Assessor - Ownership	7 years		
OAS-360	Preliminary Change of Ownership Records Images	Contains imaged copies of Preliminary Change in Ownership (PCOR) and deeds.	Assessor - ITD	30 years		
OAS-370	Property Exemptions Records	Contains records pertaining to property exemptions. Includes: Homeowner's exemption state duplication list (received from the state), negative supplemental, correspondence letters, property transmittal, low income housing exemption, senior citizens property tax exemption, limited partnership and non-homeowner's exemption related records.	Assessor	6 years	18 CCR 135; Property Tax Rule 135 (e)	
OAS-380	Property Ownership (OWN) Case Files	Contains records documenting property change of ownership information. Includes: Investigation records, copies of deeds, internal ownership investigation forms (OWN-56's), and preliminary change in ownership report.	Assessor - Ownership	7 years		
OAS-390	Property Transmittal Record (PTR) Error File Activity Reports	Consists of reports of generated recording errors occurring while processing property transmittal records (PTRs).	Assessor	6 years from the tax year of which document was obtained	Cal Rev & Tax Code 465; Property Tax Rule 135 (e)	
OAS-400	Real Estate Transfer Books	Contains workbooks of sales of properties that took place in the four districts, annotated with appraiser values & data.	Assessor	Permanent		
OAS-410	Real Property Building Records	Contains building records inside parcel jackets. Includes: permit data, drawings of the structures or improvements, and brochures.	Assessor	Permanent		
OAS-420	Real Property Comparable Sales Book	Contains books prepared by appraisal staff in each District, that contain prior-year real property sales information.	Assessor	Permanent		
OAS-430	Real Property Files	Contains parcel jackets and property data records (PDR). Includes: Appraiser valuation notes, misfortune & calamity claims, tract plans, tract maps, and correspondence.	Assessor	30 years		
OAS-440	Real Property Listings	Includes: Government owned parcel listings, sales listings, tax rate area agency listings special transfer listings and five or more unit apartment housing listings.	Assessor	7 years		
OAS-450	Secured Valuations Database (DS04) Records	Contains abstracts and other property valuation records. Includes: Name, address, values, and other information.	Assessor	5 years		
OAS-460	Separate Assessment (Lift) Property Documents	Includes: Lift returns, lift property statements, real property parcel, and related records.	Assessor	6 years		

Assessor (OAS) Version 0 10/29/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
OAS-470	Tax Rate Area (TRAs) Change Records	Includes: Notice of changes, revenue district change files, and boundary changes.	Assessor	Permanent		
OAS-480	Unrecorded Corporate Transfer Forms	Consists of changes in control and ownership documents reported to Board of Equalization.	Assessor	30 years		
OAS-490	Unsecured Tax Roll (UE19)	Valuation of unsecured assesses within tax rate areas. Provides assesses' names, situs and mailing addresses, and fixtures and equipment values.	Assessor	5 years	Cal Rev & Tax Code 2928	
OAS-500	Komand Billing Records	Contains detail costs of job runs for ISD services with specific job accounts and related records.		Permanent	GC § 26202; CFM §§ 7.5.3, 7.5.6	
OAS-510	Laservault Records	Includes reports generated from the IBM midrange computer.		Permanent	GC § 26202; CFM §§ 7.5.3, 7.5.6	
OAS-520	Paperless Transfer System Records	Contains data associated with properties and comparable sales used for valuation by appraisal staff to value transfers for real property.		7 years	Cal Rev & Tax Code 465	
OAS-530	Decline-in-Value System Records	Records associated with the system used by the appraisal staff to review and reassess (if applicable) properties for decline in value due to market conditions. Its database contains data associated with the properties and comparable sales used for review.		7 years	Cal Rev & Tax Code 465	

Los Angeles County Records Retention Schedule

Public Defender (PDD) Version 0 10/21/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PDD-010	Client Case Files	All documentation generated in the course of representation of a client. Includes: Client personal information, prosecutorial charging documents, arrest reports, reports of experts, investigation reports, diagrams, pictures, case law, notes, probation reports, and case logs.	Public Defender	Life of the client or until the client authorizes destruction	State Bar Formal Opinion No. 2001-157 b	Confidential
PDD-020	Client Credit Check Records	Consists of Experian log and justification forms. Includes: Name of client, credit scores, person who conducted credit check, date and all other related documents.	Public Defender	Life of the client or until the client authorizes destruction		Confidential
PDD-030	Conflict of Interest Reports	Includes: Name of client and attorney, date, matter name, case number and other related information.	Public Defender	Life of the client or until the client authorizes destruction		Confidential
PDD-040	Lineup Reports	Includes: Date, matter, the description of suspect, whether a suspect was identified, law enforcement officer(s) present, and any other relevant details.	Public Defender	Life of the client or until the client authorizes destruction		Confidential
PDD-050	Miranda Duty Report	Includes: Date, names, minutes, and related information.	Public Defender	Life of the client or until the client authorizes destruction		Confidential
PDD-060	Special Circumstance Case Updates & Reports	Consists of memoranda and reports on pending special circumstance cases. Includes: Case number, dates, names, special circumstances, case status, scheduled hearings, and related information.	Public Defender	Retain permanently because record of capital litigation		Confidential

Los Angeles County Records Retention Schedule

Probation (PRO) Version 0 11/12/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PRO-010	Adult Case Files	Contains district attorney packet, risk assessment, pre plea/Investigation report, financial evaluation, service referral forms, probation officer/court reports, case audits, and related records.	Probation	5 years after termination of probation: Records for individuals granted probation; Until court authorize destruction: Records for individuals not granted probation	Cal Penal Code 1203.10, Cal Gov Code 68153	Confidential
PRO-020	Bail Deviation Records	Contains assessments that determine an applicant's qualification to be released. Includes: Name, date, charge, bail amount, and related information.	Probation	5 years after termination of probation: Records for individuals granted probation; Until court authorize destruction: Records for individuals not granted probation	Cal Penal Code 1203.10, Cal Gov Code 68153	Confidential
PRO-030	Bench Warrant Pickup Records	Contains assessments of probation violation and a brief summary report for the court. Includes: Name, date, charge, and related information.	Probation	Move to Case File		Confidential
PRO-040	Centralized Restitution Case Files	Contains police reports, district attorney petitions, victim's personal information, restitution court orders, victim notices, and related records.	Probation	Move to Case File		Confidential
PRO-050	Court Reports	Contains progress reports, 15 day reviews, pre-plea reports, violation reports, and related records.	Probation	Move to Case File		Confidential
PRO-060	Deputy Probation Officer Badge Issuance	Includes: Name, date, badge number, and related information.	Probation	Permanent	County Code 5.64	Confidential
PRO-070	Drug Court and Treatment Records	Contains assessments on the eligibility of a defendant charged with a specific non-violent, drug-related offense in accordance with Proposition 36 and nonviolent defendants arrested for specific felony drug charges. Includes: a complete criminal history, an assessment of eligibility to the court, and interview notes.	Probation	5 years after termination of probation: Records for individuals granted probation; Until court authorize destruction: Records for individuals not granted probation	Cal Penal Code 1203.10, Cal Gov Code 68153	Confidential
PRO-080	Early Disposition Records	Contains background check, assessment, and related records.	Probation	Move to Case File		Confidential
PRO-090	Electronic Monitoring Records	Contains assessments (reports) and related records on defendants and sentenced inmates who have applied for the CBAC (Community-Based Alternatives to Custody) program. Includes: assessments of eligibility, interview notes, referrals to the program, and a criminal history report, which are all not part of the case file.	Probation	5 years after termination of probation: Records for individuals granted probation; Until court authorize destruction: Records for individuals not granted probation	Cal Penal Code 1203.10, Cal Gov Code 68153	Confidential

Probation (PRO) Version 0 11/12/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PRO-100	Juvenile Camp Case File/Juvenile Hall Behavior Chart	Includes: Name, date, behavioral issues, gang affiliates, personal, and related information.	Probation	5 years after court termination of jurisdiction	Cal. Welfare & Institutions Code 826	Confidential
PRO-110	Juvenile Case Files (Also known as PDJ File)	Contains court records, investigations, service referral forms, Probation officer reports, investigator's worksheet, violation report, booking and property record, periodic reviews, custody and behavioral records, fingerprint card, reimbursements, placement documentation, minute orders, and related records.	Probation	5 years after court termination of jurisdiction	Cal. Welfare & Institutions Code 826	Confidential
PRO-120	Juvenile Custody Case File	Contains court orders, peace officer report, violation report. financial evaluation, daily behavior record, booking and property record, entrance record, periodic reviews, fingerprint card, detaining order, release record, and related documents.	Probation	5 years after court termination of jurisdiction	Cal. Welfare & Institutions Code 826	Confidential
PRO-130	Juvenile Sealing Records	Includes: Assessment, findings, petition and order to seal the records, the records covered by the order, and related records.	Probation	5 years after the order to seal the records	California Welfare and Institutions Code Section 781(d)	Confidential
PRO-140	Name Change Records	Contains screenings of all applicants for civil name change. Includes: criminal background checks (which are part of the case file), and extensive records check, reports, and assessments, which are not part of the case file.	Probation	5 years after termination of probation: Records for individuals granted probation; Until court authorize destruction: Records for individuals not granted probation	Cal Penal Code 1203.10, Cal Gov Code 68153	Confidential
PRO-150	Own Recognizance Records	Contains investigations and findings that verifies information regarding a defendant used to make decisions regarding detention/release. Includes: interview notes, a complete criminal history, investigating police agency comments, evaluations, recommendations, and reports.	Probation	Permanent: Death case files; 10 after case closed or resolved: Felony case files; 6 years: All others	Cal Penal Code 802; Cal Penal Code 799-800	Confidential
PRO-160	Post Sentence Records	Contains assessments and findings.	Probation	Move to Case File		Confidential
PRO-170	Record Destruction Court Orders	Contains court orders authorizing the destruction of records for individuals that were not granted probation.	Probation	5 years after records destroyed		
PRO-180	Risk Assessment (Static 99) Records	Contains assessments and findings.	Probation	Move to Case File		Confidential

Los Angeles County Records Retention Schedule

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-010	Appeals and State Hearing (ASH) Requests Folders	Includes: Request for corrective action compliance record, in-house sign-in log for ASH Specialists to review welfare fraud folders, State Hearing Request (Filing), Request for Case Correction (PA 411), State Hearing Decision, District Compliance Response (PA 411R) , Documentation, case disposition, contacts and correspondence, and related records.	Public Social Services	3 years after adopted decision. Or if any litigation, claim, negotiation, audit or other action involving the records has been started before the end of the three-year period, the records shall be kept until all issues are resolved, or until the end of the regular three-year period, whichever is later.	22 California Code of Regulations (CCR) 40813(a)(6) & (b)(1).	Confidential
PSS-020	California Work Opportunity and Responsibility to Kids (CalWORKs) Program Intake, Approved and Denied Case Files	Contains intake, approved, and denied program case files. Includes: CalWORKs forms, Notices of Action (NOAs), property statements, earned/unearned income, Income and Eligibility Verification System (IEVS), homeless folder, issuance and documentation folders, case jacket (PA 7), treatment/services verification forms, and related records.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813; Welfare and Institutions Code (WIC) Section 10851; California Department of Social Services (CDSS) Manual of Policies and Procedures (MPP) 23-353.	Confidential
PSS-030	Cash Aid and CalFresh Quarterly Reports		Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813; WIC Section 10851; CDSS All County Letter (ACL) 05-15 and MPP 23-353.	Confidential

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-040	Child Care Outreach Letters	Contains automated outreach letters mailed to employed deregistered Greater Avenues for Independence (GAIN) participants identified as having no child care authorizations. Includes: Name, date, and service offerings.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	WIC Section 10851; CDSS ACL 05-15 and MPP 23-353.	Confidential Records; monthly
PSS-050	Civil Rights Investigation Case Files	Includes: Complaints, background and investigation documents, findings, and related records.	Public Social Services	3 years after case closed or the date of submission of the final expenditure report for the period to which the report pertains, whichever is longer.	22 CCR 40813	Confidential
PSS-060	Customer Service Center Tracking Ticket	Contains tracking tickets created when a recipient of public assistance (CalWORKs, CalFresh, Medi-Cal, General Relief) calls the Customer Service Center requesting information particular to their case. Includes: Name of caller, date, the reason for the call, information provided, and related information.	Public Social Services	Move to Client Case file.	CDSS MPP 23-353.3.	

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-070	Enterprise II Lite (E2Lite) Case Files	Includes: Contracts, Eligibility Status Report for Semi-Annual Reporting (SAR 7), General Relief Quarterly Report (QR 7-LA), state award letters, Authorizaton to Release Medical Information (CW 61) form, Welfare-to-Work Plan Activity Assignment (WtW 2), Service Provider Referral (GN 6006), activities tracking form, employer contact log, pay stubs, Monthly Earnings Report (PA 167), employer statement, Request for Employment Verification (PA 1672-1) form, school records, E2Lite review checklist, E2Lite survey questionnaire forms, support review printouts from GAIN Employment Activity and Reporting System (GEARS), Los Angles Eligibility Automated Determination Evaluation and Reporting (LEADER), Medi-Cal Eligibility Data System (MEDS), Permanent Housing Assistant SErvices (PHASE), Case Managment Iinformation and Payroll System (CMIPS), correspondence, and other related verification information documents.	Public Social Services	3 years after the date of submission of final expenditure report or until audits, litigation claims, negotiations, or other actions involving the records have been resolve/completed, whichever is later.	WIC Section 10851; CDSS ACL 08-55, ACL 05-15 and MPP 23-353.	Confidential
PSS-080	Field Investigation Case Logs	Contains manual logs that investigators use to list their cases and control for completion and status.	Public Social Services	3 years.	Los Angeles County, Board of Supervisors Policy 3.040; WIC Section 10851.	Confidential
PSS-090	CalFresh Intake and Approved Case Records	Contains intake, approved, and denied program case files. Includes: NOAs, property statements, earned/unearned income, income and eligibility verification system, homeless report, issuance and documentation folders, PA 7, and related records.	Public Social Services	3 years after case closed or when necessary collections efforts or pending civil or criminal actions have been resolved or the date of submission of the final expenditure report for the period to which the report pertains, whichever is longer.	22 CCR 40813(b); WIC Section 10851; CDSS ACL 05-15 and MPP 23-353.	Confidential
PSS-100	CalFresh Quality Control (QC) Files	Includes: Client's name, identification information, copies of CalFresh intake or recertification documents, birth certificate, social security cards, LEADER printouts, Research And Development Enterprise Project (RADEP) reports, and correspondence.	Public Social Services	3 years after the close of federal fiscal year.	WIC Section 10851; CDSS ACL 05-15 and MPP 23-353 and MPP 23.356.	Confidential

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-110	Fraud Investigation Case Files	Contains fraud investigative activity case file records. Includes: State Department of Social Services referrals, intake forms, LEADER forms, witness information, Department of Motor Vehicle forms, employment records, overpayment computation, central fraud reporting line records, home calls log, fraud activity control sheets, and related records.	Public Social Services	3 years after case closed or the date of submission of the final expenditure report for the period to which the report pertains, or after the date of final payment of court ordered restitution, whichever is longer.	22 CCR 40813(b); WIC Section 10851; County Code 2.102.040.	Confidential
PSS-120	GEARS Records	Contains exception reports used to detect child care fraud. Includes: Name, date, personal information, program, status, and related information.	Public Social Services	3 years after case closed or after the date of final payment of court ordered restitution or the date of submission of the final expenditure, or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed for the period to which the report pertains, whichever is longer.	22 CCR 40813; WIC Section 10851; CDSS ACL 05-15 and MPP 23-353.	
PSS-130	General Relief Intake and Approved Case Files	Includes: Property statements, earned/unearned income, IEVS, homeless folder, issuance and documentation folders, PA 7, and related records.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813; WIC Section 10851; County Code 2.102.040; CDSS ACL 05-15 and MPP 23-353.	Confidential

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-140	GAIN Program Case Files	Contains regular, supportive services, and employment cases files generated through the GAIN program.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813; WIC Section 10851; CDSS ACL 05-15 and MPP 23-353.	Confidential
PSS-150	In-Home Supportive Services (IHSS) Provider Related Reports	Contains reports which cross match a GEARS system report with a CMIPS system report to identify potential child care fraud.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813;WIC Section 10851; CDSS ACL 05-15, MPP 10-119.2, and MPP 23-353.	Confidential
PSS-160	IHSS Intake and Approved Case Files	Contains intake and approved case files for IHSS Program. Includes forms, NOAs, documentation and financial folder and other related records.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813;WIC Section 10851; CDSS ACL 05-15, MPP 10-119.2, and MPP 23-353.	Confidential
PSS-170	Integrated Fraud Detection and IEVS Folders	Includes: Abstract printout, income verifications, NOAs, PA 2419 form, and related records.	Public Social Services	3-5 years, after the date of final payment of court ordered restitutuion, whichever is longer.	45 Code of Federal Regulations (CFR) 74.20; CDSS MPP 23-353.	Confidential

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-180	Medi-Cal Intake and Approved Case Files	Contains intake and approved case files for Medi-Cal program. Includes: Medi-Cal intake forms , NOAs, property statements, earned/unearned income, IEVS, homeless folder, issuance and documentation folders, PA 7, treatment/services verification forms, and related records.	Public Social Services	3 years after case closed or the date of submission of the final expenditure report for the period to which the report pertains, whichever is longer.	22 CCR 50111 (b)(2); WIC Sections 10851 and 14124.1.	Confidential
PSS-190	NICE Records Recordings	Contains electronically saved record calls received by customer service center agent regarding a recipient's case and call quality assurance records. Includes: Date, length of call, information requested, call evaluation forms, relevant reports, and related documentation.	Public Social Services	2-3 years.	Los Angeles County Board of Supervisors Policy 3.040; WIC Section 10851 (f) [requires a 3-year retention period].	
PSS-200	Refugee Intake Approved Case Files	Contains intake and approved case files for Medi-Cal program. Includes: Medi-Cal intake forms , NOA, property statements, earned/unearned income, IEVS, homeless folder, issuance and documentation folders, PA 7, treatment/services verification forms, and related records.	Public Social Services	3 years after the case is closed or after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolved/completed, whichever is later.	22 CCR 40813; WIC Section 10851; CDSS ACL 05-15 and MPP 23-353.	Confidential
PSS-210	Request for Computations	Contains request forms to compute the amount of fraud overpayment and over-issuance. Includes: LEADER print out, employer, and related information.	Public Social Services	3 years or after the date of final payment of court ordered restitution, whichever is longer.	45 CFR 74.20; CDSS MPP 23-353.	
PSS-220	State Abstracts	Contains various state abstracts. Includes: California Youth Authority (CYA) abstracts, Department of Motor Vehicles abstract, jail/incarcerated match abstract, and fleeing felon abstract.	Public Social Services	3 years.	CDSS MPP 23-353.2	Confidential
PSS-230	Supplemental Security Income Records	Includes: Supplemental security income monthly invoices, reports, and forms.	Public Social Services	Move to Client Case file.	CDSS MPP 23-353.3; Also see MPP 23-351.13.	Vital

Public Social Services (PSS) Version 0 10/31/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
PSS-240	Temporary Assistance for Needy Families (TANF) Case Files	Contains verification records to support participation in the TANF program. Includes: Demographic data, earned and unearned income documents, PA-167, pay stubs, employer statement letter, PA 1672-1, CW 61, birth certificates, resident status, school records, state award letters, WtW contracts, WtW 2, GN 6006, activity tracking form, employer contact log, TANF review checklist, RADEP survey questionnaire, printouts from GEARS, LEADER, MEDS, PHASE, CMIPS, correspondence, and other related records that support review findings.	Public Social Services	3 years after the date of submission of final expenditure report or until audits, civil or criminal litigation claims, negotiations, or other actions involving the records have been resolve/completed, whichever is later.	WIC Section 10851; CDSS ACL 08-55, ACL 05-15 and MPP 23-353.	Confidential
PSS-250	Legislative Analyses	Analyses of federal and State legislative bills pertaining to Public Social Services' programs.	Public Social Services	Current year + 9 years	Departmental Business Policy.	Confidential
PSS-260	Legislative Correspondence (Administrative, General or Routine)	Includes tracking of inquiries and letters to and from the Legislature.	Public Social Services	Current year + 9 years	Departmental Business Policy.	Confidential
PSS-270	Legislation Records, Reports and Bill Files (Reports and Studies)	Includes statuses of legislation, requests for information, reports, and studies as they pertain to Public Social Services' programs.	Public Social Services	Current year + 9 years	Departmental Business Policy.	Confidential
PSS-280	Work Measurement Studies & Research Evaluations on Programs and Operations	Contains raw data including confidential case information, test subjects information, record of activities obtained by Management Services during the conduction of process assessments and time studies and a copy of the final report that may include recommendations on staffing for labor negotiation purposes.	Public Social Services	3 to 3 1/2 years	WIC 10851 and CDSS MPP 23-353.6.	Confidential

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Los Angeles County Records Retention Schedule

Regional Planning (RPL) Version 0 10/28/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RPL-010	General Community, Area, Coastal and Specific Plans	Contains land use plans and amendments, studies, reports, maps, correspondence, and related records. Incudes: Area surveys, plans, publications, presentation materials correspondence, related information, studies and Board of Supervisors Report, community outreach, correspondence and related records.	Regional Planning	Permanent: Records documenting and supporting the land use decision made; 5 years: All other records		
RPL-020	Airport Land Use Plan Records	Includes: Master and other use plans and amendments, studies, staff reports, advisory circulars, maps, correspondence, and related records.	Regional Planning	Permanent: Records documenting and supporting the land use decision made; 5 years: All other records		
RPL-030	Community Standard District Records	Includes: analyses, community outreach,environmental studies, pubic hearing materials, and related records.	Regional Planning	Permanent		
RPL-040	Environmental Records	Includes: Environmental impact reports, Environmental documents, SEATAC and ERB committee meetings and minutes, Mitigation Monitoring, CEQA and related records.	Regional Planning	Permanent		
RPL-050	Filing Fees	Includes: Fee comparison reports, development updates and studies, CPI reports, fee schedules, and related records.	Regional Planning	5 years		
RPL-060	Geographic Information Systems (GIS) Data	Consists of on-line GIS data taken from planning project, permit, maps, agreements, profiles, studies, posters, and other records.	Regional Planning	Until information superseded		
RPL-070	Housing Element/Housing Element Implementation Records	Includes: HAC meeting minutes, environmental studies, analyses, progress reports, grant proposals, research, land use amendments and related records.	Regional Planning	Permanent		
RPL-080	Land Division Case Files	Includes: tract and parcel maps, analyses and related records.	Regional Planning	Permanent: Records documenting and supporting the land use decision made; 5 years after the case is decided: All other records		

Regional Planning (RPL) Version 0 10/28/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RPL-090	Land Division Research Reports	Includes: Lot line adjustments, certificates of compliance, certificates of exception, property title documents, and related records.	Regional Planning	Permanent: Records documenting and supporting the land use decision made; 5 years: All other records		
RPL-100	Land Use Regulation - Front Counter	Includes: Temporary use permits, plan reviews, general and community maps, zoning conformance reviews, business licenses, counseling, rebuild letters, monthly summary reports, analyses phone logs, related records and house numbering maps.	Regional Planning	Permanent: Records documenting and supporting the land use decision made; 5 years: All other records		
RPL-110	Zoning Enforcement Records	Includes: Project reports, case documents, permit case reports, analysis, recommendations, and related records.	Regional Planning	Permanent		
RPL-120	Regional Planning Commission Records	Includes: Agendas, minutes, tapes, testifiers sheets, footage sheets, hearing officer agendas, and related records.	Regional Planning	Permanent		
RPL-130	Zoning Permit Files	Includes: Project reports, case documents, permit case reports, analysis, recommendations, and related records.	Regional Planning	Permanent: Records documenting and supporting the land use decision made; 5 years: All other records		
RPL-140	Ordinance Preparation	Includes: Studies, maps, correspondence, legislative analyses land use amendments, research & analyses, and related records.	Regional Planning	Permanent		
RPL-150	General Plan	Contains land use plans and amendments, adopted General Plans and amendments, and adopted environmental reports. Includes studies, reports, maps, correspondence, and related records for the General Plan Update.	Regional Planning	Permanent		

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Los Angeles County Records Retention Schedule

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-010	Campaign Disclosure Statements	Detailed reports itemized by cover periods predetermined by law. Includes monetary and non-monetary contributions, expenditures, loans, unpaid bills, and a summary of overall activity.	Registrar-Recorder/County Clerk	Indefinitely: County Board of Supervisors; 7 years: Officeholders and losing candidates for District Attorney, Sheriff, Assessor, and local county offices; county general purpose committees, county primarily formed committees, and county ballot measure committees; 5 years: Losing candidates for the offices of the County Board of Supervisors; 4 years: Officeholders and losing candidates for state offices, state general purpose committees, state primarily formed committees and state ballot measure committees.	GC 81009	
RRC-020	Candidate Nomination and Qualification Records	Includes: Nomination papers, "Signatures in Lieu of" petition, applications, declarations of candidacy, and related records.	Registrar-Recorder/County Clerk	4 years after expiration of the term of office for which they were filed, unless used as evidence or requested in a legal action.	Cal Election Code 17100(a)	
RRC-030	Candidate Statements of Economic Interests	Detailed reports of State and local county officeholders and candidates personal assets and income.	Registrar-Recorder/County Clerk	7 years: County officeholders and candidates; 4 years: State officeholders and candidates.	GC 81009	

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Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-040	Elections: Ballot Records	Contains active, spoiled, and cancelled ballots, and related records. Includes: VBM ballot requests and applications (except federal post card applications), cancellation of VBM ballot requests, notices of denial of cancellation, prior registration notices, untimely and rejected ballots, provisional envelopes, VBM rosters; voted VBM ballots; statements of challenge to VBM voters	Registrar-Recorder/County Clerk	5 years: Rosters; 22 months: Federal elections; 6 months: State and local elections, unless an election contest or criminal action commences during that time then retain until the case is completed; 2 months: LACERA elections.	Cal Election Code 17301-17306; Cal Election Code 17504(b); Cal Election Code 17505(b); LACO BOS Resolution	
RRC-050	Elections: Canvassing Board and Certifications of Results	Includes: Canvass board statements and certificates of results	Registrar-Recorder/County Clerk	Permanent		
RRC-060	Elections: Judicial, School, and Special District Records	Includes: Files, maps, correspondence, and other records related to these elections.	Registrar-Recorder/County Clerk	Permanent		
RRC-070	Elections: Listing of Polling Places	Contains name and location of polling places for each election district and information relating to accessibility by the handicapped.	Registrar-Recorder/County Clerk	2 years	42 USC section 1974	
RRC-080	Elections: Petitions	Includes: Initiative, referendum and recall petitions, certificates, letters, and forms	Registrar-Recorder/County Clerk	8 months after the certification of the results of the election for which the petition qualified or, if the measure, for any reason, is not submitted to the voters, 8 months after the final examination of the petition by the elections official, unless used as evidence or requested in a legal action.	Cal Election Code 17200(a); Cal Election Code 17400(a)	
RRC-090	Elections: Poll Worker Loyalty Oaths	Includes: Name, date, and related information.	Registrar-Recorder/County Clerk	22 months from the date of any election	Cal Election Code 17502	

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-100	Elections: Precinct Board Officers	Includes: Precinct officers' declaration of intention, precinct board member applications, order appointing members of the several precinct boards and designating the polling places, nominations for appointment to the precinct board, written orders appointing precinct board members or designating the polling place, and related records.	Registrar-Recorder/County Clerk	22 months from the date of any election: US Offices; 6 months after election: State and local offices.	Cal Election Code 17502(b); Cal Election Code 17503	
RRC-110	Elections: Precinct Map Records	Contains precinct maps and other records concerning precinct definition and realignment.	Registrar-Recorder/County Clerk	Permanent: Maps; 5 years after the election: All other records		
RRC-120	Elections: Precinct Records	Includes: Signature rosters; combination forms; monthly precinct file; monthly voter file; voter records pages; certificates of appointment of watchers; election VIP listings, precinct returns; ballot registers/tally lists; voted, spoiled, defective, unused, undistributed, and specimen ballots; election precinct reports; election vendor voter file, write-in candidate lists; redistributed ballot receipts; ballot distribution record; ballot card order; ballot transportation plan; check-in center locations and staff listing; unofficial tabulation of ballot results; official tabulation of precinct results; voting machine inspection records; notice of voting machine inspections; voting machine printouts; ballot box certificates and seals; ballot box receipts; certificate of successful and records of unsuccessful tests of automatic tabulating equipment; and testing ballots.	Registrar-Recorder/County Clerk	22 months: Federal elections; 6 months: State and local elections unless an election contest or criminal action commences during that time then retain until the case is completed.	Cal Election Code 17301-17306	
RRC-130	Elections: Precinct Reports to the State	Contains copies of maps or reports sent to the Secretary of State following an election.	Registrar-Recorder/County Clerk	5 years		
RRC-140	Elections: Reapportionment and Redistricting Changes	Contains political district maps and records concerning changes do to reapportionment.	Registrar-Recorder/County Clerk	Permanent: Maps; Until such time as the next reapportionment is completed: All other records	Cal Election Code 21000	

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-150	Elections: Recount Records	Includes: Request for and conduct of a recount, initial, expedited, and supplementary recount petitions, associated amendments, affidavits, certifications, applications for inclusion of remaining paper ballot precincts, recount notices, recount cost statements, and related records.	Registrar-Recorder/County Clerk	22 months: Federal elections; 6 months: State and local elections unless an election contest or criminal action commences during that time then retain until the case is completed.	CA Election Code 17301-17306	
RRC-160	Elections: Reference Records	Includes: Ballot card orders, ballot transportation plan, ballot samples, locations, staff listings, tally center plans, reviews, schedules, and related records.	Registrar-Recorder/County Clerk	5 years		
RRC-170	Elections: Resolutions	Includes: Issuing body, date of election, purpose, date passed, and related information.	Registrar-Recorder/County Clerk	Permanent		
RRC-180	Elections: Secretary of State Reports and Statements	Includes: Voter registration counts and statement of votes.	Registrar-Recorder/County Clerk	5 years	Cal Election Code 17000	
RRC-190	Fictitious Business Names Files	Contains business name filings, cancellation, withdrawal, abandonment form submitted for recording, proof of publication, and related records.	Registrar-Recorder/County Clerk	4 years after the statement expires	Cal Bus & Prof Code 17927	
RRC-200	Field Office Security Plan	Outlines the security information and personnel at County Clerk/Registrar Recorder departmental field offices.	Registrar-Recorder/County Clerk	2 years		
RRC-210	Help America Vote Act (HAVA) Program Records	Includes: Requirements, grant records and information, reports, correspondence, and related information.	Registrar-Recorder/County Clerk	3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken	45 CFR Part 92.42	
RRC-220	Indexing Real Property Logs	Includes: Reports, sign-out sheets and batch numbers	Registrar-Recorder/County Clerk	2 years	GC 26202	
RRC-230	Indexing Vitals Logs	Includes: Vitals Reports of Birth, Death & Marriage Records indexed and imported	Registrar-Recorder/County Clerk	2 years	GC 26202	

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-240	Maps	Consist of maps of county lands and rights of ways and all other maps used or created by the county surveyor. Includes: Real property, cemetery, parcel and tract, road, state highway maps, and other maps.	Registrar-Recorder/County Clerk	Permanent	GC 26205 GC 26205.5	
RRC-250	Multilingual Vendor and Database Records	Contains vendor records and those generated through the multilingual database. Includes: Sample ballots, voter instructions, translation documents, voter service brochures, absentee voter application, phone referral card, register and voter regulations, multilingual tally cards, vendor cost estimates, and vendor fees.	Registrar-Recorder/County Clerk	22 months: Federal elections; 6 months: State and local elections; 5 years: Financial records	CA Election Code 17301-17306; Cal Election Code 17504(b); Cal Election Code 17505(b); 42 USC section 1974	
RRC-260	New House Numbering and Address Changes	Consist of letters and tract maps showing new parcels and streets or a particular land development of renew housing from various cities and Los Angeles County Public Works, including new house number and address change records and new streets and housing tract records.	Registrar-Recorder/County Clerk	2 years or until updated		
RRC-270	Notary Public Journals	Lists all notary public's transactions. Includes: Date of transaction, name of party, type of document, and signature.	Registrar-Recorder/County Clerk	10 years from the date of deposit with the County Clerk and court authorization	GC 8209	The Registrar-Recorder has a 10/2001 standing court order allowing them to destroy such records when they reach their mandated retention period
RRC-280	Notary Public Oath Sheets	Contains sworn oath sheets signed by Notary Publics. Includes: Name, date, term, and related information.	Registrar-Recorder/County Clerk	1 years after term expires	GC 8213(a)	
RRC-290	Notice of Completion	Contains recorded notices on behalf of contractors by their owner/agent in order to prevent liens from being filed against the business	Registrar-Recorder/County Clerk	5 years		
RRC-300	Occupational Certificates of Registration	Contains process server, professional photocopier, and other occupations of registration. Includes: Name, date, term, and related information.	Registrar-Recorder/County Clerk	2 years after registration expires		

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-310	Official Notices	Records of persons forwarded to County Clerk/Registrar Recorder of births, deaths, marriage, felony and mental incompetence used for removal from the voter registration lists.	Registrar-Recorder/County Clerk	5 years	Cal Election Code 17000	
RRC-320	Power of Attorney Records	Contains filing and revocation records. Includes: Name, date, Surety company name, and related information.	Registrar-Recorder/County Clerk	2 years after revocation	GC 26809	
RRC-330	Preliminary 20-Day Notices	Includes: Names, date, estimate of total price, proof of service, and related information.	Registrar-Recorder/County Clerk	5 years	GC 26202	
RRC-340	Probate Referee	Contains referee appointments issued by Superior Court. Includes: Name, date, court, term, and related information.	Registrar-Recorder/County Clerk	2 years after revocation	GC 26202	
RRC-350	Proof of Publication	Contains newspaper articles on judicial appointments and proof of publication for determination of candidates to appear on the ballot.	Registrar-Recorder/County Clerk	2 years		
RRC-360	Public Agency Roster	Includes: Name, date, agency, position, and related information.	Registrar-Recorder/County Clerk	2 years	GC 26202	
RRC-370	Public Official Oath of Office Sheets	Contains oath sheets and revocations. Includes: Name, date, office, and related information.	Registrar-Recorder/County Clerk	5 years after revocation	GC 24102	
RRC-380	Real Property Records	Includes: Deed and other real property books, index books, microfilm negatives, film reports, and related records.	Registrar-Recorder/County Clerk	Permanent	GC 26205 GC 26205.5	
RRC-390	Reapportionments and Redistricting Changes	Contains document reflecting jurisdictional changes to major political districts every 10 years along with supporting documentation of why a precinct/district was changed if number of voters exceeds 1,000.	Registrar-Recorder/County Clerk	Permanent		
RRC-400	Reference Agreements and Solicitation Documents	Contains sample election related solicitation & agreements from other entities.	Registrar-Recorder/County Clerk	5 years		
RRC-410	Registered Voter Annual Listings	Contains annual listings of voters. Includes: Voters names, addresses, and serial identification numbers.	Registrar-Recorder/County Clerk	Permanent		
RRC-420	Registered Voter Roster and Indexes	Contains roster or index of voters. Includes: Voters names, addresses, and serial identification numbers.	Registrar-Recorder/County Clerk	5 years	Cal Election Code 17300(a)	
RRC-430	Section Batch Log	Contains list of distributed batch numbers consisting of individual document numbers to be applied to recorded real estate documents.	Registrar-Recorder/County Clerk	5 years	CFM 8.5.6	
RRC-440	Solicitor Files	Contains solicitor information. Includes: Policy, rules and regulations, request to work, orientation forms, sign-in sheets, badge requests, and complaints.	Registrar-Recorder/County Clerk	7 years		

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-450	Statements of Organization	Includes: Application to form candidate controlled committees, county general purpose committees, county primarily formed committees and county ballot measure committees.	Registrar-Recorder/County Clerk	Indefinitely: County Board of Supervisors; 7 years: Officeholders and losing candidates for District Attorney, Sheriff, Assessor, and local county offices; county general purpose committees, county primarily formed committees, and county ballot measure committees; 5 years: Losing candidates for the offices of the County Board of Supervisors; 4 years: Officeholders and losing candidates for state offices, state general purpose committees, state primarily formed committees and state ballot measure committees.	GC 81009	
RRC-460	Surety Company Filings	Contains financial statements for surety companies. Includes: Name, address, date, and related financial information.	Registrar-Recorder/County Clerk	Permanent: Liability insurance companies; 10 years: All others	GC 26202	
RRC-470	Title Company Log	Includes: Name, assigned batch numbers, and related information.	Registrar-Recorder/County Clerk	5 years	CFM 8.5.6	
RRC-480	Unlawful Detainer Assistant Registration Certificates	Contains certificates and bonds. Includes: Name, date, address, company, bond amount, and related information	Registrar-Recorder/County Clerk	2 years after certificate or bond expires	Cal Bus & Prof Code 6403(e)	
RRC-490	Vital Records: Amendment Affidavits	Contains affidavits amending birth, death, and marriage records.	Registrar-Recorder/County Clerk	Permanent		
RRC-500	Vital Records: Applications	Includes: requestor and registrant information for requests for vital records.	Registrar-Recorder/County Clerk	2 years	GC 26202	

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-510	Vital Records: Birth Certificates	Contains supplementary birth certificates, delayed birth certificates, supporting documentation, and amendments to birth certificates received by LA County Clerk. Includes: Names, date of birth, parents affidavits, and place of birth.	Registrar-Recorder/County Clerk	Permanent		
RRC-520	Vital Records: Death Certificates	Contains death certificates and amendments to death certificates received by Los Angeles County and City. Includes: Name, age, place of death, next of kin, causes of death and coroner report.	Registrar-Recorder/County Clerk	Permanent		
RRC-530	Vital Records: Delayed Birth Records	Includes: Names, date of birth, parents affidavits, and place of birth.	Registrar-Recorder/County Clerk	Permanent		
RRC-540	Vital Records: Indexes	Contains marriage, bride, groom index, birth, death and delayed birth indexes.	Registrar-Recorder/County Clerk	Permanent		
RRC-550	Vital Records: Marriage License Applications	Includes: Names, ages, addresses, names of parents or consenting guardians, and related information.	Registrar-Recorder/County Clerk	2 years		
RRC-560	Vital Records: Marriage License Certificates	Includes: Names, ages, addresses, names of parents or consenting guardians, affidavits, license number, certificate of marriage book and page number, and related information.	Registrar-Recorder/County Clerk	Permanent		
RRC-570	Voter Affidavits of Registration	Includes: Name, address, party affiliation, and related information.	Registrar-Recorder/County Clerk	5 years	Cal Election Code 17000(a)	
RRC-580	Voter Change of Address Forms	Includes: Declaration of address change, confirmation of former and new voting district, ward, and polling place, and related information.	Registrar-Recorder/County Clerk	2 years	42 USC section 1973gg-6(i); 42 USCS section 1974	
RRC-590	Voter Count Certification	Contains certifications of the number of voters.	Registrar-Recorder/County Clerk	2 years		
RRC-600	Voter Notification Cards	Contains responses to mailings of voter verification and confirmation cards.	Registrar-Recorder/County Clerk	2 years	42 USC 1973gg-6(i); 42 USC section 1974	
RRC-610	Voter Registration Disclosure Application	Includes: Name, address, specific information requested, use of information, and related information.	Registrar-Recorder/County Clerk	5 years from the date of application	Cal Election Code 2188	
RRC-620	Voter Registration Records	Includes: Active, inactive, cancelled, unresolved, and incomplete voter registration forms and cards and forms. Includes: Name , address, place and date of birth, party affiliation, naturalization date, voting record, and adjustments pertaining to name address, or affiliation changes	Registrar-Recorder/County Clerk	5 years	Cal Election Code 17000(b)	

Registrar-Recorder/County Clerk (RRC) Version 1 11/13/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
RRC-630	Voters: Challenge to Registration Records	Contains records relating to challenges to the registration of a voter. Includes: Notices of challenge, requests for and notices of hearing, affidavits of argument or evidence, statements of challenge, copies of petitions for review in cases appealed to a district court, and written determinations of challenge.	Registrar-Recorder/County Clerk	22 months: Federal elections; 6 months: State and local elections, unless election contest brought, then retain until legal action completed.	Cal Election Code 17303(b)(3); Cal Election Code 17304(b)(3)	
RRC-640	Voters: New Residents Listing	Includes: Names and addresses of new residents voting in an election.	Registrar-Recorder/County Clerk	22 months	Cal Election Code 17506	
RRC-650	Voting: Modernization Bond Act (Proposition 41) Records	Includes: Applications, reports, purchase orders, receipts, progress payments, invoices, time cards, cancelled warrants, warrant numbers, and related records.	Registrar-Recorder/County Clerk	5 years after final project report or project termination submitted has been accepted by the Voter Modernization Board and at least one year following any audit or final disposition of any disputed audit findings.	Voting Modernization Act of 2002: Funding Application and Procedural Guide, Section X Recording Keeping and Audit	

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Los Angeles County Records Retention Schedule

Sheriff (SHD) Version 0 12/3/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-010	Air Quality Management District Compliance Records	Includes: Generator permits, generator maintenance, underground storage tanks permits, designated underground storage tank operator records, Fire Department inspection sheets, equipment monitoring certifications, testing sheets, and related records.	Sheriff	Permanent: Underground storage tank related records, permits, and groundwater testing records; 5 years: All other records	40 CFR 264.1089; 40 CFR 264.1089(a); 40 CFR 265.1064(l); 40 CFR 265.1090(a); 40 CFR 280.31(d)(1)(12); 40 CFR 280.33(f); 40 CFR 280.45(a); 40 CFR 280.45; 40 CFR 280.74	Vital
SHD-020	Arrest and Booking Records	Contains arrest and bench warrants, and related records. Includes: Name, date of arrest, physical description, place of arrest, disposition at time of arrest, warrant number, name of judge, accomplices, arresting officer, and related information.	Sheriff	9 years		
SHD-030	Aviation Records	Includes: Flight training documentation, pilot certificates, medical certificates required by FAA, flight status reports, flight statistics, airport operational reports, documents showing required flight time for pilots, and Federal Aviation Agency (FAA) mandated permits for aircraft, heliports, and airport security permits.	Sheriff	2 years after expiration: Certificates and permits; 5 years: All other records		
SHD-040	Case Files: Felonies	Includes: Crime reports, individual supplemental reports, filed interview reports, documentation of required notifications, detective case files, statements, telephone notes, correspondence, and other customary records relating to the investigation of criminal offenses. Note: Records should be kept in a secured location but should be made available under Cal PRA; For records that may be disposed of using retention periods found in the Case Assignment Manual, please, add the applicable legal citations to the Authority Citations column of this schedule and to the County Citation Table kept by County Counsel and the Records and Archives Program.	Sheriff	Permanent: Offenses punishable by death or life imprisonment without parole, embezzlement of public money, and sex offenders; 10 years after case is closed or resolved: Felonies; **Note:** The Case Assignment Manual retentions for some types of felony and misdemeanors cases may only be used if the retention period is mandated by a specific law or regulation. Relevant records may be disposed of using the Case Assignment Manual retentions only after approval is granted by department Counsel.	Cal Penal Code 799 and 800	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-050	Case Files: Misdemeanors	Includes: Crime reports, individual supplemental reports, filed interview reports, documentation of required notifications, detective case files, statements, telephone notes, correspondence, and other customary records relating to the investigation of criminal offenses. Note: Records should be kept in a secured location but should be made available under Cal PRA; For records that may be disposed of using retention periods found in the Case Assignment Manual, please, add the applicable legal citations to the Authority Citations column of this schedule and to the County Citation Table kept by County Counsel and the Records and Archives Program.	Sheriff	6 years; **Note:** The Case Assignment Manual retentions for some types of felony and misdemeanors cases may only be used if the retention period is mandated by a specific law or regulation. Relevant records may be disposed of using the Case Assignment Manual retentions only after approval is granted by department Counsel.	Cal Penal Code 801 and 802	
SHD-060	Control Drug Receipt Report	Contains reports of drugs that have been picked up and distributed through the corrective facility. Includes: Control drug receipts, pharmacy drug records, drug stock requests, medication control audits, narcotics reports, dug invoices, inventory cards, drug procurements, and weekly pill report.	Sheriff	10 years: Audit records; 5 years: All other records		
SHD-070	Correction Facility and Inmate Tracking Records	Contains logs and tracking files of inmates. Includes: Inmate Reception Center, custody release lists, barrack officer quarters (BOQ) lists, daily release counts, hold lists, imperative lists, erroneous releases log, quality control eligibility lists, registration logs, inmate over detention lists, reference number logs, probable cause declaration logs, clothing and laundry parts inventories, juvenile detention logs, medical hold placement/removal list, daily listing of convicted inmates sentenced to prison, transfers of inmates, inmate quality control eligibility list, inmate station assignment, statistical tracking, total number of inmate bookings and releases, jail facility inmate counts, security levels, sentence status to manage the inmate population, unit isolation log, juvenile jail book JIF cards, inmate work release, and other records.	Sheriff	5 years		Vital
SHD-080	Correctional and Inmate Related Bureaus and Unit Services Logs	Contains logs and other records created by the Correctional Services, Offender Program, Inmate Services, and other bureaus and units. Includes: Uniform daily activity, inmate housing, inmate services, clinic, non-HIPAA medical services bureau, food services unit, religious and volunteer services, jail enterprise unit, community transition, innovative technologies unit, health liaison, services transportation (TST), innovative technologies, Correctional services, Offender Program, and related records.	Sheriff	5 years		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-090	Countywide Warrant System (CWS) Warrant System Reports	Contains reports detailing compliance with regulations governing the management and service of arrest and bench warrants.	Sheriff	Permanent		
SHD-100	Court Orders, Petitions, Motions and Subpoenas	Contains station copies of all issued court orders, motions, petitions, and subpoenas relating to events or persons within the jurisdictional area. Includes: Emergency protective orders, temporary restraining orders, permanent restraining orders, NCCF court orders, subpoena tracking system records, subpoena release, and name tracking logs.	Sheriff	5 years after order expires or case is closed or resolved		Vital and Confidential
SHD-110	Death Notifications	Contains notifications of deceased inmates. Includes: Name of inmate, date, information on housing unit, patient information and cause of death.	Sheriff	Permanent		
SHD-120	Dispatch Logs	Includes: Mobile digital terminal (MDT), computer aided dispatch (CAD), 911 calls, and other logs.	Sheriff	2 years		
SHD-130	Driving Under the Influence (DUI) Enforcement Program Records	Contains all documents relating to DUI enforcement efforts. Includes: Check point operations, DUI education, and other records	Sheriff	5 years		Vital and Confidential
SHD-140	Facility and Equipment Inspection Reports	Includes: Immigration & Customs, fire extinguisher, alarm and sprinkler, jail facility, and other inspections and reports.	Sheriff	5 years after the next required inspection	19 CCR 904.1(b); 15 CCR 10329(b)	
SHD-150	Federal Excess Property Program Files	Consists of an inventory of equipment and supplies acquired by the Federal Excess Property Acquisition Unit.	Sheriff	3 years after disposition: Records of real property and equipment acquired; 3 years from the date of submission of the final expenditure report and until all litigation, claims or audit findings involving the records already started have been resolved and final action taken: All others. **Note:** Department Counsel approval needed before disposing of records	7 CFR 3015.22 & 23	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-160	Informant Management Files	Includes: Name, background check, periodic review, and related information	Sheriff	Permanent: Involved in closed cases and investigations for offenses punishable by death or life imprisonment or embezzlement of public money; 10 years after case or investigation is closed or resolved: All others		Vital and Confidential
SHD-170	Inmate Booking Money Deposit Log	Contains a log that tracks monies deposited to inmates accounts. Includes: Name of inmate, the amount of money deposited, the date, and identity of sender.	Sheriff	5 years		Vital
SHD-180	Inmate Case Files	Includes: Inmate legal documents, inmate appeals of disciplinary action, copies of booking slips, records checks, medical review, additional charge slips, detainee property information, inmate transfer transmittals, inmate custody line transmittals, and related records.	Sheriff	10 years after inmate is released from custody		Vital and Confidential
SHD-190	Inmate Complaint Records	Includes: Complaint, investigation reports, findings, and related records	Sheriff	5 years after finding issued	Cal Penal Code 832.5 (b)	Vital
SHD-200	Inmate Deposit and Disbursement Receipts	Includes: Inmate Retention Center cashier, bail bond, fine, parking, and other receipts.	Sheriff	5 years	CFM 1.3.3.3; CFM 9.1.6	Vital
SHD-210	Inmate Extradition and Transfer File	Contains Immigration & Customs Bureau Form I-216, Interstate Corrections Compact extradition forms, and other records. Includes: Name of inmate, date, transfer location, and related information.	Sheriff	5 years after transfer takes place		Vital and Confidential
SHD-220	Inmate HIV Reports	Includes: Names, dates, locations, medical conditions, and other information.	Sheriff	5 years		
SHD-230	Inmate Incident and Injury Reports	Contains inmates and officers incident/injury reports within the jurisdictional area, kept in Booking & Records Unit. Includes: Names of persons involved, date, incidents with uniform officers, SH-r 49 criminal incident report, SH-AD 49 incident reports, courtesy reports, juvenile incident reports, facility inmate injury report, facility incident reports, inmate incident reports, citations, administrative segregation sheets, and detailed information on occurrence.	Sheriff	5 years		
SHD-240	Inmate Infections Screenings and Reports.	Includes: Methicillin-resistant staphylococcus aureus (MRSA), scabies, tuberculosis, and other reports and screenings.	Sheriff	5 years		
SHD-250	Inmate Medical Records	Contains records dealing with inmate health issues. Includes: Name of prisoner, name of physician, behavioral observation and mental health referral, forensic outpatient movement list, medical assessment sheets, declass mental observations list, inmate medical claims, medical error forms, radiology (x-rays) reports, self-medication reports, drug summary/distribution report, and related records.	Sheriff	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors	22 CCR 79807(c); 9 CCR 784.28	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-260	Inmate Requests	Contains specific information regarding special needs of inmates. Includes: Dietary needs, moving to another cell, special commissary, high security requests, and keep-away status.	Sheriff	5 years		Vital and Confidential
SHD-270	Inmate Welfare Fund Records	Includes: Tracking logs, memos, encumbrance reports, cash balance reports, expenditure reports, commissary transactions records, cashier records outstanding requisitions relating to the Inmate Welfare Fund, and other reports detailing revenues and expenses.	Sheriff	5 years	CFM 1.3.3.3; CFM 9.1.6	Vital
SHD-280	Internal Affairs Investigation Case Files	Contains all records relating to administrative and criminal investigations. Includes: Low-level and significant use of force documentation, police reports, traffic accidents, supervisory inquiries, internal complaints, public complaints, interviews, audio recordings, video recordings and photographs.	Public Safety	Permanent	Cal Penal Code 832.5(b)	Confidential
SHD-290	Investigations: Court Related Records	Includes: Copies of investigative filings, listing of all cases filed with a specific District or City Attorney, listings of available court dates, records of court attendance, tracking records of court cases file, transmittals from courts on an inmate, in-court release sheets, master court lists, court proceedings, tracking records of inmates who missed court, tracking records of inmates traveling to and from court, and related records.	Sheriff	5 years after case closed or resolved		Vital and Confidential
SHD-300	Investigations: Crime Lab Results	Contains analytical results from cases and field investigations. Includes: Laboratory tests, biological records, blood alcohol testing records, toxicology records, crime scene processing and trace evidence examinations, firearms identifications, type and caliber determination, ballistics analyses, laboratory receipts (bar-coded sheets), and related records.	Sheriff	Permanent: Death investigations; 10 after case closed or resolved: All others		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-310	Investigative Case Files: Juvenile	Includes: Offense, date of arrest, narrative summary of case, and related information. Note: For records that may be disposed of using retention periods found in the Case Assignment Manual, please, add the applicable legal citations to the Authority Citations column of this schedule and to the County Citation Table kept by County Counsel and the Records and Archives Program.	Sheriff	Permanent: Offenses punishable by death or life imprisonment without parole, embezzlement of public money, and sex offenders; 10 years after case is closed or resolved: Felonies; 6 years: Misdemeanors; **Note:** The Case Assignment Manual retentions for some types of felony and misdemeanors cases may only be used if the retention period is mandated by a specific law or regulation. Relevant records may be disposed of using the Case Assignment Manual retentions only after approval is granted by department Counsel.	Cal Penal Code 799, 800, 801, 802	Vital and Confidential.
SHD-320	Investigator Assignments Logs	Contains case assignment by file number which indicates which detective is assigned to investigate. Includes: Date, matter, name of investigator, and related information.	Sheriff	5 years		
SHD-330	LARCIS, Coplink, and other System Information Releases	Contains releases of criminal offender information from these systems. Includes: Requesting terminal identifier, the receiving terminal identifier, date, and the information given.	Sheriff	3 years from date of release	11 CCR 707(c)	
SHD-340	Livescan Fingerprint System Applicant Request Forms	Includes request forms and related records in order to submit fingerprints through the system	Sheriff	Law Enforcement Personnel: Permanent. Major Crime Bureau applicants: 3 Years; Records and Identification Bureau: 2 years		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-350	Los Angeles Regional Crime Information System (LARCIS) System Reports	Includes: Incident reports with uniform reporting numbers drawn (49s), uniform reporting number (URN) logs, criminal reports, and related records. Note: For records that may be disposed of using retention periods found in the Case Assignment Manual, please, add the applicable legal citations to the Authority Citations column of this schedule and to the County Citation Table kept by County Counsel and the Records and Archives Program.	Sheriff	9 years or indefinitely depending on classification	Cal Penal Code 799, 800, 801, 802	
SHD-360	Mental Evaluation Team Subject Matter Files	Contains all information regarding contacts with mentally ill juvenile or adult patients. Includes: Prior hospitalizations, addresses, phone numbers, family members names, medications taken, emergency contact phone numbers, circumstances surrounding contact, and location of contact.	Sheriff	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors	22 CCR 79807(c); 9 CCR 784.28	
SHD-370	Metropolitan Transit Authority (MTA) Incident Reports	Includes: Crimes, arrests, citations issued, station security adult forms, and related information.	Sheriff	5 years		Vital and Confidential
SHD-380	Missing Persons File	Includes: Name, date person went missing, last known contact, and related information.	Sheriff	5 years from date reported missing		
SHD-390	National Crime Information Center Records	Includes: Reports, audits, correspondence, and related records.	Sheriff	Move into appropriate case files: Records related to on-going or closed investigations; 10 years: Audit records; 5 years: All other records		
SHD-400	Paramedic Transfer Record	Includes: Patient name, date, condition, and related information.	Sheriff	7 years following discharge: Adult; 1 year after a minor reaches the age of 18 years but not less than 7 years following discharge: Minors	22 CCR 79807(c); 9 CCR 784.28	
SHD-410	Pawn Slips	Includes: Business name, date, description of goods accepted and sold, and related information.	Sheriff	3 years		

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-420	Polygraphs	Contains video recording and reports from criminal and pre-employment polygraph tests. Includes: Date, location, and test results.	Sheriff	Move to Investigation Case Files: All but pre-employment tests; 3 years from date test conducted: Pre-employment tests	29 CFR 801.30	
SHD-430	Property and Evidence Change of Custody and Disposition Records	Includes: Case control number, evidence description, date and names of persons who checked-out from evidence room, items released to the court, items held for continued investigation, items released to the owner, and related information.	Sheriff	Permanent: Death investigations; 10 after case closed or resolved: All others		Vital and Confidential
SHD-440	Radar Detector Calibration Records	Contains radar calibration records available for court to attest to the accuracy of the devices.	Sheriff	2 years after the last test		
SHD-450	Regional Allocation of Patrol Service Reports	Includes: Date, district, services, cars and personnel, and related information.	Sheriff	5 years		Vital and Confidential
SHD-460	Religious Services Office Records	Includes: Chaplain activities, court orders approving inmates to attend the funeral of a family member, funeral and hospital notifications, family requests for counseling to an inmate, and related records.	Sheriff	3 years, then move to Inmate Case file		
SHD-470	Sealed Adult Arrest Records	Includes: Petition and order to seal the records and the arrest and investigative records covered by the order.	Sheriff	3 years after petition granted and order issued and any civil or court action closed	Cal Pen Code 851.8(a)(k)	
SHD-480	Sealed Juvenile Arrest Records	Includes: Petition and order to seal the records and the arrest and investigative records covered by the order.	Sheriff	5 years after the order to seal the records	California Welfare and Institutions Code Section 781(d)	
SHD-490	Sex Offender Registers	Contains records of sex offender registration. Includes: Name, dates, offense/offenses committed, date of conviction, sex and age of victim, current address, identifying characteristics, occupation, name of employer, and driver's license.	Sheriff	Permanent		Vital and Confidential
SHD-500	Shooting Range Records	Includes: Officer's name, date, shooting scores, and other related information.	Sheriff	5 years	County Code 7.22, 23	Confidential
SHD-510	Station Inmate Workers Timekeeping Reports	Includes: Name, date, assignments, and related information.	Sheriff	4 years	15 CCR 30459a)	
SHD-520	Statistical Crime Reports	Contains the records of crime statistics released to Cal DOJ and FBI. Includes: Uniform crime report return A, 3-digital crime statistics, crime analysis reference log, fiscal format crime statistics,	Sheriff	5 years		
SHD-530	Strip Searches and Safety Chair Records	Includes: Authorization reports, safety checks, and related records.	Sheriff	Move to Arrest and Booking Records or Investigation Files		Vital
SHD-540	Traffic and Parking Citations	Includes: Date, violation, description of vehicle, fine or fee, citing officer, and traffic warrant record.	Sheriff	2 years		Vital and Confidential
SHD-550	Traffic Collision Investigation Reports	Includes: Date, time, vehicle information, location of accident, individuals involved, and injuries.	Sheriff	5 years		Vital and Confidential

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
SHD-560	Vehicle Impound Records	Contains California Highway Patrol 180 form and correspondence. Includes: Names, dates, vehicle registration information, fees collected, and related information..	Sheriff	Keep until Investigation Case File exists: Records used in criminal investigations; 5 years: Fee collection records; 2 years: All others	CFM 9.1.6	
SHD-570	Voice Recordings	Contains recorded phone calls, radio calls, and DVD-Rs of selected radio and phone line records.	Sheriff	2 years		Vital and Confidential
SHD-580	Watch Commander Service Comment Reports	Contains tracking information for non-criminal occurrences detailed in watch commander service comment reports. Includes: Comments received from the public, corresponding investigations, compliant log, tracking reports, administrative documents, and audio/video files.	Sheriff	2 years or until investigation is closed or resolved, whichever is longer		Vital
SHD-590	Custody Division Fixed Video Recordings	Fixed video surveilance digital recordings not assosciated with an incidnet in which an URN or Refernce Number has been assigned	Sheriff	Twenty Five (25) months	CDM 5-05/100.00	Vital

Los Angeles County Records Retention Schedule

Treasurer/Tax Collector (TTC) Version 1 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
TTC-010	Accumulated Payment Listing	Includes: Date of payment, amount paid, amount outstanding, account number, and related information.	Treasurer and Tax Collector	12 years after roll is certified	Cal Rev & Tax 4377; CFM 9.1.6	
TTC-020	Automated Cashiering System (ACS) Records	Includes: Date paid, amount paid account paid, and daily balancing information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6	
TTC-030	Bank Account Records	Contains bank signature authorization statements, deposit slips, cancelled checks, on-line banking, electronic fund transfers, and supporting documentation. Includes: Account numbers, transaction detail, dates, check numbers, amounts, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
TTC-040	Bank Account Records - Balance Adjustment	Contains balance calculation reports, analysis reports, transaction detail, journal entries, department charges, fund transfers, sweeps, disbursements, and other records. Includes: Date, accounts, amounts, periodic balances, adjusted balances, details, expenses, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
TTC-050	Bankruptcy Claim Files	Contains proof of claims, bankruptcy court orders, copies of tax bills, and related records.	Treasurer and Tax Collector	5 years after claim dismissal or discharge date and audit completed	CFM 9.1.6; CFM 10.3.0	.
TTC-060	Business License Application Files and Database	Contains application, correspondence, workings papers, approvals, denial letter or copy of license issued, and supporting records. Includes: Date, applicant name, personal data, name of business, business location, decision, date of action, and related information.	Treasurer and Tax Collector	5 years after license denied; Move approved application records to Business License Case Files		
TTC-070	Business License Case Files	Contains license, application, approvals, permits, agreements, insurance policies, field inspections, business license hearing notices, commission decisions on licenses, and related records.	Treasurer and Tax Collector	5 years after license expires		
TTC-080	Business Ownership Bulk Transfer Records	Contains correspondence, notifications, demand letter for the transfer of business ownership, and related records.	Treasurer and Tax Collector	5 years after transfer made or ownership settled, whichever is later		
TTC-090	Capital Assets Financing Records	Contains cash flow, credit and borrowing, and payment analyses, reports, correspondence, and other records used to finance the acquisition, improvement, and disposal of capital assets.	Treasurer and Tax Collector	5 years after asset disposed of and audit completed	CFM 4.5.2; CFM 9.1.6; CFM 10.3.0	
TTC-100	CARS Fund Transfer Records	Contains fund transfer authorizations, journal vouchers, trust fund reconciliations, requisition for trust warrants, worksheets, exception lists, and related records.	Treasurer and Tax Collector	5 years and audit completed	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
TTC-110	Cash Management Records	Contains daily transfer (TF) log, uninvested balance reports, deposit permits, differences and overages, sweep activity, daily ledger, cash position worksheets (CPW), investment wires, and related records.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-120	Certificate of Tax Liens and Releases	Contains liens and releases for property taxes. Includes: Parcel number, tax amount, lien holder, and related information.	Treasurer and Tax Collector	5 years after lien released or expired and audit completed	CFM 9.1.6	
TTC-130	Chapter 8 Agreement Sales Records	Contains agreement and correspondence. Includes: Parcel number, default amount, who purchased, property tax, and related information.	Treasurer and Tax Collector	5 years after sale closed		
TTC-140	Collection Accounting Receivable System (CARS) Records	Contains account information: referring departments, debtors, account activity dates, account statuses, services, owing/remaining amounts, payments, adjustments, refunds, write-offs, and related information.	Treasurer and Tax Collector	5 years after payments received, returned to referring departments, or no account activity; or 2 years after accounts written-off.	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
TTC-150	Collection Case File Data Transmittal Records	Contains batch cards and other transaction data. Includes: Date, name, amount due, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-160	County Improvement Bonds (CIB) Records	Contains Board correspondence, certificates, fact sheets, bond insurance information, contracts, maturity schedules, escrow reports, and related records. Includes: type of bond, sale date, series, number, amount, rate of interest, amounts, projects undertaken, properties affected, and related information.	Treasurer and Tax Collector	5 years after bond matures and last payment made		
TTC-170	Escheat Records	Contains reports, checks, and other supporting records listing unclaimed funds and property reported to the state.	Treasurer and Tax Collector	5 years and audits completed	CFM 9.1.6; CFM 10.3.0; Cal Gov. Code 50050	
TTC-175	Estate Administration - Estate and Conservatorship Financial Records	Contains electronic and hardcoy reports, data, and negotiated checks for income, assets, disbursements, and distributions for the benefit of Public Administrator decedent estates and Public Guardian conservatorships.	Treasurer and Tax Collector	5 years after estate or conservatorship settled	CA Prob. C. §§7600-7666, 2900-2955; CA Govt. C §§24350-24356	
TTC-180	Estate Administration - Minor Trust Fund Files	Contains correspondence, property inventory listing, insurance, letters of intent to sell, reconciliations and supporting records, requisition for trust warrants, trust warrants, unclaimed property reports, and related records. Includes: Listing of assets, insurance, inheritance, account transactions, debits, credits, and related information.	Treasurer and Tax Collector	5 years after estate settled	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
TTC-190	Estate Administration - Stock Certificate Files	Contains certificates, account information, and correspondence. Includes: Date, issuer, owner's name, value, interest earned, and related information.	Treasurer and Tax Collector	5 years after estate settled		
TTC-200	Estate Administration - Tax Returns	Contains decedent tax returns and supporting records.	Treasurer and Tax Collector	7 years after estate settled		

Treasurer/Tax Collector (TTC) Version 1 10/30/2013

RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
TTC-210	Estate Administration - Unclaimed and Claimed Property Records	Contains monthly activity reports, inventory of estate, affidavits, court documents, correspondence, certificates, unclaimed property reports, and any other documentation of claims on the estate.	Treasurer and Tax Collector	5 years after estate settled and audit completed	CFM 2.2.3; CFM 9.1.6; CFM 10.3.0	
TTC-220	General Fund Financing Records	Contains financing transcripts, term financing documents, tax and revenue anticipation notes (TRANS), general obligations (GO) bonds, debt runs, and related records.	Treasurer and Tax Collector	5 years after bond matures and last payment made		
TTC-230	Housing Financing Authority Revenue Bonds (HFA) Records	Contains Board correspondence, certificates, fact sheets, bond insurance information, contracts, maturity schedules, escrow reports, and related records. Includes: type of bond, sale date, series, number, amount, rate of interest, amounts, projects undertaken, properties affected, and related information.	Treasurer and Tax Collector	5 years after bond matures and last payment made		
TTC-240	Insufficient Funds (NFS) Records	Contains log of NSF checks received, correspondence, and related records. Includes: Name of client, date, check number, account number, amount charged for insufficient funds, and related information.	Treasurer and Tax Collector	5 years	CFM 2.2.3; CFM 10.3.0	
TTC-250	Investment Plan Administration Committee Records	Contains committee minutes, fund proxies, contracts, registrations, broker/dealer lists, and related records.	Treasurer and Tax Collector	5 years after plan expiration: Contracts and registrations; 5 years: All other records		
TTC-260	Investment Plan Financial Records	Contains fund and account statements, cash position worksheet (CPW), investment logs, transaction statements, analytical reports, trade tickets, confirmations, earning reports, statements, reconciliations, month-end report, float rate schedules, settlements, and related records. Includes: Dates, name of institution, transactions, earnings, balances, floats, adjustments, rate changes, trade volumes, maturity dates, trade and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-270	Lockbox System Payment Service Records	Includes: Account number, date, transaction description, amount, payment, and related information.	Treasurer and Tax Collector	5 years	CFM 10.3.0	
TTC-280	Los Angeles County Pooled Investment Fund (LACPIF) Deposit and Withdrawal Authorizations	Includes: Agency or bank name, bank number, address, amount number account number, wiring instructions, frequency of transaction, and related information.	Treasurer and Tax Collector	5 years after authorization ends	CFM 2.2.3	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
TTC-290	Mobile Home Case Files	Contains correspondence, title search, and related records to transfer ownership.	Treasurer and Tax Collector	5 years		
TTC-300	Non-Profit 501c(3) Tax Status Conduit Records	Contains correspondence, agreements, funds receipt and distribution documents, and related records.	Treasurer and Tax Collector	5 years after bond matures and last payment made		
TTC-310	Outside Collection Agency (OCA) Reports	Includes: Agency name, services, account payment activity, account adjustments, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-320	Private Lease Placements (PLP) Financing Records	Contains certificates, reports, lease agreements, and related financing records.	Treasurer and Tax Collector	5 years after lease ends		
TTC-330	Property Auction Sale Records	Contains accounting worksheet for property auction sales. Includes: Description of property, legal owner, and related information.	Treasurer and Tax Collector	5 years after sale completed		
TTC-340	Property Tax Payment - Five Year Plan Records	Contains installment plan application, support documentation, correspondence, and related records. Includes: Date, owner, tract number, tax amount, plan details, and related information.	Treasurer and Tax Collector	5 years after final plan payment made and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-350	Property Tax Payment - Four Year Plan Records	Contains installment plan application, support documentation, correspondence, and related records. Includes: Date, owner, tract number, tax amount, plan details, and related information.	Treasurer and Tax Collector	5 years after final plan payment made and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-360	Public Auction Sales Books	Includes: Parcel number, description, tax amount, payment, date, and related information.	Treasurer and Tax Collector	5 years after sale completed and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-370	Public Health Accounts and Payment Records	Includes: Account number, date, transaction description, amount, payment, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-380	Revenue Collection and Remittance Processing Records	Contains listing of checks received, payment stubs, payment batching records, signature mail transmittals, daily deposit, daily balance, cashier detail, eCAPS reconciliations, departmental manual remittance (DMR) reports, deposit permits, secured collection reports, monthly reports, transactions, exception lists, purged account reports, and other records detailing payments received from all sources. Includes: Date, payee, amount, payment information, accounts, balances, adjustments, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-390	Sale and Seizure Records	Contains property sale and seizure reports and working papers in relation to delinquent taxes. Includes: Parcel number, date, tax amount, collection history, research detail, and related information.	Treasurer and Tax Collector	10 years after sale and audit completed	CFM 9.1.6; CFM 10.3.0	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
TTC-400	San Gabriel Hydroelectric Project Reconciliation Report	Contains project documents, reconciliation reports, and other records.	Treasurer and Tax Collector	5 years after project ends and audit completed		
TTC-410	School Districts General Obligation Bonds (GOB) and Tax Revenue Anticipation Notes (TRAN) Debt Service Payments.	Contains statements, debt services payment schedule, invoices, wire instructions, wire requests, fund transfer authorizations, and related records.	Treasurer and Tax Collector	5 years after bond matures and last payment made		
TTC-420	Secured Property Tax Roll Records	Contains tax roll, applied payment list, street index reports, secured property transaction records, and tracking database. Includes: tract number, property owner, tax amount, and related information.	Treasurer and Tax Collector	12 years after roll is certified	Cal Rev & Tax 4377	
TTC-430	Special Investments Unapplied Fund Accounts Records	Contains journal voucher, calculation of management fees, and related records.	Treasurer and Tax Collector	5 years	CFM 10.3.0	
TTC-440	Subdivision Tract Tax Clearance Records	Contains correspondence and tract clearance documents. Includes: Date, tract number, owner, tax amount, payments, and related information	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-450	Suspense Remittance Records	Contains remittance memoranda (SRM), journal vouchers, transaction reports, missing items reports, and related records. Includes: Date, payee, amount, bank information, account number, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-460	Tax and Miscellaneous Payment Records	Contains payment processing, batching, remittance, credit card, exception research, deposit reports (DEDS), logs, transfer reports, missing items expense accounts (MISA) listing, unapplied payments listings, and supporting documentation. Includes: date paid, payee name, payment amount, amount outstanding, services rendered if not for property tax, credit card number, account number, suspense account number, and related information.	Treasurer and Tax Collector	5 years after tax paid and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-470	Tax Collection Case Files	Contains correspondence, work papers, payment plan, lien documents, bankruptcy documents, insurance, settlement letter, and related records. Includes: Name, dates, service provided, facility name, amount owed, payments made, reimbursement of overpayment, updates, and related information.	Treasurer and Tax Collector	5 years after case closed and audit completed	CFM 9.1.6; CFM 10.3.0	
TTC-480	Tax Collector Receipt and Disbursement Report	Contains daily recapitulation report, journal vouchers, and related records	Treasurer and Tax Collector	5 years	CFM 10.3.0	
TTC-490	Tax Payment Agreement Plan Records	Contains plan and correspondence. Includes: Parcel number, tax amount, payment agreement terms, date, and related information.	Treasurer and Tax Collector	5 years after agreement expires	CFM 10.3.0	
TTC-500	Tax Roll	Includes: Tract number, property owner, tax amount, payment, and related information.	Treasurer and Tax Collector	12 years after roll is certified	Cal Rev & Tax 4377; CFM 10.3.0	

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RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS
TTC-510	Tax Roll Records - Delinquent	Contains correspondence, list of secured property, and tracking data system. Includes: Date, tract number, address, property owner, amount, and related information.	Treasurer and Tax Collector	5 years after payment or sale of property	Cal Rev & Tax 2928; CFM 10.3.0	
TTC-520	Treasurer Receipt Records	Contains receipts, receipt control log, books, and related records. Includes: Date, number, department or name, amount, and related information.	Treasurer and Tax Collector	5 years and audit completed	CFM 1.3.3.3; CFM 9.1.6; CFM 10.3.0	
TTC-530	Unprocessed Property Tax Refund Report	Contains unprocessed property tax refund checks for overpayments, billing errors, and supporting documentation.	Treasurer and Tax Collector	5 years	CFM 10.3.0	
TTC-540	Unsecured Personal Property Demand for Payment	Contains correspondence, copy of bill, demand for payoff statement, and related records.	Treasurer and Tax Collector	5 years after payment or sale of property	CFM 10.3.0	
TTC-560	Unsecured Tax Database Files	Contains data on payment history for unsecured taxes. Includes: Owner name, tract number, payment dates, amounts, balance due, and related information.	Treasurer and Tax Collector	5 years after tax paid, refunded, or cancelled	Cal Rev & Tax 2928; CFM 10.3.0	
TTC-570	Utility Tax and Transient Occupancy Payment Records	Contains payment reports, cashier reports, receipts, deposit permits, and related records. Includes: Date, name, payment amount, amount outstanding, accounts, and related information.	Treasurer and Tax Collector	5 years	CFM 1.3.3.3	
TTC-580	Utility Tax Exemption Applications	Contains applications and correspondence. Includes: Date, name, address, exemption qualifications, approval or denial, and related information.	Treasurer and Tax Collector	5 years after denial or exemption expires		
TTC-590	Warrants Paid Report	Includes beginning balances, disbursement amounts, date, transaction number, agency/department receiving monies, justification for disbursement, and related information.	Treasurer and Tax Collector	5 years	CFM 1.3.3.3; CFM 2.2.3; CFM 10.3.0	
TTC-600	Waste Disposal Registration Applications & Certificates	Contains application, correspondence, certificates issued, and related records. Includes: Date, owner, company name, location, and related information.	Treasurer and Tax Collector	6 years after application denied or certificate expires	County Code § 20.60.020	
TTC-610	Penalty Cancellation Log	Contains information on parcels for which penalties were cancelled, reason for cancellation and authorizing authority personnel.	Treasurer and Tax Collector	5 years		
TTC-620	Tract Clearance Documents	Files requesting property tax clearance Public Works Department	Treasurer and Tax Collector	5 years		

ATTACHMENT III

THE BOARD
RESOLUTION

Note: The proposed draft attachment is non-operative and has not been approved by the Board of Supervisors

RESOLUTION OF THE BOARD OF SUPERVISORS OF THE COUNTY OF LOS ANGELES APPROVING THE COUNTY'S RECORDS RETENTION SCHEDULES AND AUTHORIZING THE DESTRUCTION OF COUNTY RECORDS

WHEREAS, Los Angeles County Board of Supervisors ("Board") previously approved the County of Los Angeles' records retention/destruction policy; and

WHEREAS, the County of Los Angeles ("County") needs to insure the preservation and availability of historical documents and other official papers and artifacts of the County; and

WHEREAS, the purpose of a retention schedule is to establish a pattern for the orderly transfer, maintenance, and destruction of records on a continuing basis; and

WHEREAS, the County has an on-going obligation to maintain County records in accordance with applicable laws and regulations and accepted records management practices; and

WHEREAS, Government Code section 26200 et seq. provides the relevant procedures for destroying records that do not have to be filed or preserved; and

WHEREAS, pursuant to Government Code section 26201 the Board may authorize destruction of duplicate records, papers, or documents of originals or permanent reproductions which are on file with any officer or department of the County; and

WHEREAS, pursuant to Government Code section 26202, the Board may authorize, by a majority vote, the destruction of records after two years which are not prepared or received pursuant to State statute or County Charter; and

WHEREAS, pursuant to Government Code section 26202 the Board may authorize, by four-fifths vote, the destruction of records after two years which are

prepared or received pursuant to State statute or County Charter and the Board has determined the retention of those records are no longer necessary or required for County purposes; and

WHEREAS, pursuant to Government Code sections 26205 and 26205.1 the Board may delegate to County officers the authority to destroy any record, paper, or document if the record, paper, or document is photographed, micro photographed, microfilmed, or otherwise reproduced in accordance with Government Code section 12168.7; and

WHEREAS, the County's retention schedules will be reviewed regularly by the respective County department head, in consultation with County Counsel, and approved by the Registrar-Recorder/County Clerk ("RR/CC"); and

NOW, THEREFORE BE IT RESOLVED, the Board of Supervisors of the County of Los Angeles approves the revised record retention/destruction policy, known as Board Policy No. 3.040 Records Management and Archive of County Records, and the County General Records Retention Schedule as well as the Department Records Retention Schedules and authorizes:

(1) County departments to destroy duplicate records, papers, or documents of originals or permanent reproductions which are on file with any office or department of the County.

(2) County departments to destroy any record, paper, or document, including originals or permanent reproductions, which do not have to be filed or preserved, once they have been retained for the total period set forth under the applicable records

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retention schedule and those records are no longer necessary or required for County purposes.

(3) County departments to destroy any record, paper, or document, which is not required by law to be preserved in its original format, if the record, paper, or document is reproduced, for County or public use, with the use of photographic or micro-photographic film, optical disks, an electronic data processing system, or any other medium that is a trusted system which accurately reproduces the original, does not permit additions, deletions, or changes to the original, and complies with Government Code section 12168.7 and Title 2 of the California Code of Regulations, sections 22620.1 through 22620.8.

(4) Department heads to amend their respective departments' record retention schedules, in consultation with County Counsel and approval by RR/CC, so long as the amendment complies with state law.

(5) The RR/CC to preserve historically valuable materials which document the origins, activities, and achievements of the County.

The foregoing resolution was on the _____ day of _____ 2016, adopted by the Board of Supervisors of the County of Los Angeles and ex officio the governing body of all other special assessment and taxing districts, agencies and authorities for which said Board so acts.

LORI GLASGOW
Executive Officer
Board of Supervisors

By _____
Deputy

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APPROVED AS TO FORM:

MARY C. WICKHAM
County Counsel

By _____
VICKI KOZIKOUJEKIAN
Principal Deputy County Counsel
Board Liaison Division

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