



Board of Directors Meeting Agenda

Tuesday, November 18, 2025

6:00 – 7:30 p.m.

Kern Regional Center, 3200 N. Sillect Ave., Bakersfield CA 93308 -- Malibu Room

General Business		
1. Call to Order and Introductions		Tracey Miller, Board President
2. Review and Approve Agenda of November 18, 2025	Action	Tracey Miller, Board President
3. Review and Approve Board Minutes of October 28, 2025 (Attachment 1)	Action	Tracey Miller, Board President
4. KRC Policies, • Transparency and Access to Public Information/KRC California Public Records Act Policy • Electronic Communications Policy • Records and Information Management Program Policy (Attachment 2)	Action	Tomas Cubias, Chief Equity Officer
5. Circle Up	Info.	Tomas Cubias, Chief Equity Officer
6. Public Input	Info.	
Reports		
7. Board President's Report	Info	Tracey Miller, President
8. Consumer Advisory Committee Report	Info.	Tracey Miller, President and CAC Chairperson
9. Executive Director's Report	Info.	Enrique Roman, Executive Director
10. Financial Reports a. POS Report through September 2025 (Attachment 3) b. Operations Report through September 2025 (Attachment 4)	Info.	Tom Wolfgram, CFO
11. Vendor Advisory Committee Report	Info.	Tamerla Prince, VAC Representative

Please click the link or QR code below to join the webinar:

<https://tinyurl.com/mrxde7d2>

<https://us02web.zoom.us/j/89479232052?pwd=S6lzbfbvHAPwldl56adobKR6DCDjIIN0.1>

Webinar ID: 894 7923 2052 Passcode: 426077

Dial-In Number: (213) 338-8477

**The next KRC Board of Directors meeting is
December 9, 2025, 5:30 – 7:00 PM**



Attachment 1



Kern Regional Center Board of Directors Meeting Minutes October 28, 2025 6:00 – 7:30 p.m.

This was a hybrid meeting conducted in-person at Kern Regional Center, 3200 N. Sillect Ave., Bakersfield, CA 93308, in the Malibu Conference Room and online via Zoom. Spanish interpretation was provided by Nidya Madrigal-Navia, an Independent Contractor, and ASL interpretation was provided by Kimberly Cantwell and Rachel Groner of LifeSigns, Inc.

1. Call to Order and Introductions

Tracey Miller, President, called the meeting to order at 6:02 PM.

Roll call of board members was done and a quorum established.

Board Members Present:

Socorro Carrillo, Board Member
Fernando Fermin, Treasurer
Carlos Isidoro, Board Member
Tracey Miller, Board President
Tamerla Prince, VAC Representative
Donald Tobias, Board Member
Ruth Watterson, Board Member

Board Members Absent:

Ana Alonso, Vice-President

KRC Staff Present

Alejandra Chavez - AD Community Services
Tomàs Cubias - Chief Equity Officer
Sarah Fechner - Asst. Director of Client Services
Ana Guerra - Asst. Director of Client Services,
Early Childhood
Sonia Johal - Compliance Manager
Kristine Khuu
- Asst. Director of Client Services, Intake
Yesenia Mackie
- Asst. Director Client Services – Adult

KRC Staff Present (continued)

Cindy Martinez - Service Coordinator
Sydney Ortiz - PM, Community Services
Darlene Pankey, Executive Assistant
Gabriela Rodriguez,
- Asst. Director of Client Services, Transition
Enrique Roman - KRC Executive Director
Ky Tran - IT Technician
Omelia Trigueros - Director of Client Services
Vanessa Webster - Fair Hearing Officer
Tom Wolfgram - Chief Financial Officer

Guest Attendees:

Cindy Cox
Debbie Escobar
Ingrid Mares
Edwin Pinada
Ky Tran
Sandra Van Scotter

2. Review and Approval of Agenda

Presenter: Tracey Miller, President

Action: Approval of the agenda for October 28, 2025

Motion made by: Carlos Isidoro **Second by:** Tamerla Prince

In Favor: 7 **Nays:** 0 **Abstentions:** 0



3. Review and Approval of Board Minutes (Attachment 1)

Presenter: Tracey Miller, Board President

Action: Approval of the board minutes from the meeting held on September 23, 2025. The minutes were provided to board members one week before this meeting for review.

Motion made by: Socorro Carrillo **Second by:** Tamerla Prince

In Favor: 7 **Nays:** 0 **Abstentions:** 0

4. Appoint Board Member, Kevin Johnson, to a First Term on the Board of Directors

Presenter: Tracey Miller, Board President

Motion made to appoint Kevin Johnson to a first term on the KRC Board of Directors made by: Socorro Carrillo

Second by: Carlos Isidoro

In Favor: 7 **Nays:** 0 **Abstentions:** 1

5. Waive Request for RFP Requirement for Development of an Infant Development Program (Attachment 2)

Presenter: Alejandra Chavez, Assistant Director of Community Services presented on behalf of Lynn Clark, Director of Community Services

Alejandra Chavez came before the Board requesting that the Board of Directors waive the RFP requirement for an Infant Development Program in Bishop CA from Great Steps Ahead (GSA) to have Strive Behavioral Intervention, Inc. assume business ownership. The rationale is that the owner of GSA is retiring and Strive, as an established vendor, would like to take assume ownership of the business. There are no other local providers willing to assume ownership. It would be a seamless transition, there will be no interruption in services, and Strive is aware that there are no startup funds.

Motion to Waive Request for RFP Requirement for Development of an Infant Development Program made by: Kevin Johnson **Second by:** Socorro Carrillo

In Favor: 7 **Nays:** 0 **Abstentions:** 0

6. KRC Conflict of Interest Policy (Attachment 3)– Presenter: Enrique Roman, Executive Director

Key changes:

- Gift acceptance limit: \$15 per calendar year; report and return if exceeded.
- Nepotism clause: Executive team prohibited from hiring relatives.

Motion to approve updated KRC Conflict of Interest Policy given by: Socorro Carrillo

Second by: Donald Tobias

In Favor: 7 **Nays:** 0 **Abstentions:** 0

7. Policy Review: CPRA, Electronic Communications, Records Retention (Attachment 4)–

Presenter: Tomas Cubias

Overview of three policies for compliance with California Public Records Act effective Jan 1, 2026.

It was noted that Attachment A (Retention Schedule) was missing; item was tabled for next meeting.

Action: Policies to be revisited with complete documentation.



8. Training: National Core Indicators - NCI (Attachment 5) -- Presenter: Tomas Cubias

Overview of NCI surveys and upcoming public meeting on December 9, 2025 (5:30–7:00 PM).

Discussion on improving awareness and preventing confusion about survey legitimacy.

9. Public Comment

- Sandra VanScotter: Concerns about delays in Self-Determination Program renewals; request for LVAC to become a formal Board committee for transparency.
- Community Announcements: Thrive Trunk-or-Treat event on October 29, 2025.

10. President's Report - Presenter: Tracy Miller

- Attended Supported Life Conference in Sacramento.
- Update on Bakersfield Indian Health Symposium and collaboration with tribal communities.

11. Executive Director's Report - Presenter: Enrique Roman

- Symposium recap and partnership with Bakersfield American Indian Health Project.
- Budget update: Current year stable; anticipate federal cuts next fiscal year.
- Rate reform is getting closer completion; Hold Harmless Clause ends Feb 28, 2026.
- Board composition: Recruitment ongoing; plan of correction due to DDS.

12. Financial Report - Presenter: Tom Wolfgram (CFO)

Discussion: Purchase of Service and Operations Reports for August 31, 2025

- **POS Report (Attachment 3)**
 - **August 2025 Spending:** \$24,953,716
 - **YTD Spending:** \$55,450,058
- **Operations Report (Attachment 4)**
 - **August 2025 Expenses:** \$3,634,190
 - **YTD Expenses:** \$7,317,649

13. Vendor Advisory Committee Update - Presenter: Tamerla Prince

- Vendor luncheon scheduled; 349 attendees confirmed.
- Discussion on vendor education for Self-Determination Program.

14. Next Meeting: November 18, 2025, 6:00 – 7:30 PM

Kern Regional Center, Malibu Room or Zoom Hybrid

Adjournment

Meeting adjourned at 7:36 PM.

Attachment 2

KERN REGIONAL CENTER BOARD OF DIRECTORS POLICY

SUBJECT: CALIFORNIA PUBLIC RECORDS ACT POLICY
POLICY NO.: TBD
DATE: Anticipated Board Approval Date: 10/28/2025

ARTICLE I. INTRODUCTION

Effective January 1, 2026, the Kern Regional Center (“Center”) is subject to the California Public Records Act (“CPRA”)¹ pursuant to Welfare and Institutions Code section 4639.76, as enacted by Assembly Bill 1147 (Disability Equity, Transparency, and Accountability Act of 2024)². This policy establishes the procedures for responding to public records requests in compliance with CPRA requirements, ensuring transparency, accountability, and timely access to public records. As a publicly funded entity, this agency recognizes the public’s right to access records related to its operations, decision-making, and use of resources. This policy applies to public records maintained by the agency, including electronic, written, and stored communications that qualify as public records. All agency employees, contractors, and representatives must adhere to these procedures to ensure compliance with the law and to maintain public trust.

ARTICLE II. PURPOSE

The purpose of this policy is to provide direction on how to receive, process, and respond to requests to inspect or receive copies of Center records. All requests for Center records will be handled pursuant to the provisions of the CPRA.³

ARTICLE III. DEFINITIONS

Section 3.1 Definitions

- A. **Center personnel** shall collectively refer to all Center employees, board members⁴, appointed officials, and anyone who prepares, owns, uses, or retains public records on behalf of the Center.
- B. **CPRA Analyst** Chief Equity Officer or his/her designee.
- C. **CPRA Portal** is a web-based system where members of the public may submit CPRA requests to the Center and the Center may respond, including the production of records.

¹ Gov. Code, § 7920.000 *et seq.*

² Welf. & Inst. Code, § 4639.76

³ Gov. Code, § 7920.000 *et seq.*

⁴ Welf. & Inst. Code, § 4622

- D. **CPRA Request** is a request by a Person⁵ to inspect and/or to receive a copy of Center records. Commonly requested records include emails related to a particular subject matter and Center contracts.
- E. **Person** a "Person" includes any natural person, corporation, partnership, limited liability company, firm, or association.⁶
- F. **Public Record** is defined by the CPRA and includes any writing that contains information relating to the conduct of the public's business prepared, owned, used, or retained by the Center regardless of physical form or characteristics, and regardless of whether created or transmitted on or by a Center-owned device.⁷
- G. **Writing** shall mean any typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and any record thereby created, regardless of the manner in which the record has been stored.⁸

Section 3.2 General Scope

This policy applies to all Center personnel and shall be interpreted to be consistent with other Center-wide policies.

ARTICLE IV. POLICY & PROCEDURES

Section 4.1 Policy and Procedures

Every Person⁹ has a fundamental right to copy and inspect public records.¹⁰ It is important for the Center to properly gather potentially responsive records, review the records for privileged or exempt information, and produce responsive, nonexempt documents in a timely manner. The CPRA Analyst is responsible for gathering responsive records, making the appropriate redactions, and responding to the requester. However, it is the responsibility of all Center personnel to assist in identifying responsive records and prioritizing CPRA requests as reasonably permitted by their job duties.

This policy shall be interpreted to be consistent with CPRA statutes, case law, and other governing authority.

⁵ Gov. Code, § 7920.520

⁶ Gov. Code, § 7920.520

⁷ Gov. Code, § 7920.530

⁸ Gov. Code, § 7920.545

⁹ Gov. Code, § 7920.520

¹⁰ Gov. Code, § 7921.000

Section 4.2 The CPRA Request

- A. Any Person may make a records request. The Center cannot require that the requester provide their name or other identifying information or the purpose of the request.¹¹ Anonymous requests or fictitious names are permitted. If the requester refuses to give his/her contact information, Center personnel shall set a date within 10 calendar days for the requester to check on the status of the request.
- B. Any request (verbal or written) to review a record qualifies as a CPRA request. The requester is not required to cite to the CPRA, file a request with a specific office, or use the Center's CPRA Portal.
 - i. If Center personnel receives a request outside of the CPRA Portal, they may ask but not require the person to use the CPRA Portal. If the person refuses, Center personnel shall receive the request and then submit the request to the CPRA Portal and process consistent with the rest of these guidelines.
 - ii. Center personnel should consider whether the requester has a right to the records that is outside of the CPRA (e.g., employee's request to review their personnel file; a request for copies of certified payroll records; a union's Request for Information, etc.).
- C. All CPRA requests shall be forwarded to the CPRA Portal. Any CPRA request involving members of the Board should be brought to the attention of the Center's General Counsel and Executive Director.
- D. The CPRA Portal shall document the date of the CPRA request and assign a reference number.
- E. If the request does not reasonably identify a Center record, the CPRA Analyst shall make every effort to assist the requester in making a focused and effective request.¹² The CPRA Analyst shall document their efforts to:
 - i. Assist the member of the public to identify records and information that are responsive to the request or to the purpose of the request, if stated.
 - ii. Describe the information technology and physical location in which the records exist.
 - iii. Provide suggestions for overcoming any practical basis for denying access to the records or information sought.
- F. Modified requests should be documented in response letters to the requester.

¹¹ Gov. Code, § 7921.300

¹² Gov. Code, § 7922.600

Section 4.3 Gathering Responsive Records

- A. The CPRA Analyst shall immediately notify the Center personnel most likely to have responsive records.
 - i. It is the responsibility of all Center personnel to assist in identifying responsive records. After learning of a relevant CPRA request, Center personnel shall produce potentially responsive records to the CPRA Analyst as expeditiously as possible.
 - ii. When determining whether a record is potentially responsive, Center personnel shall consider if a reasonable person would interpret the request to include a particular document.
 - iii. Center personnel shall gather responsive records held on private devices or accounts in accordance with the Electronic Communication Policy.
- B. Request for emails shall be handled in compliance with the Electronic Communications Policy. The CPRA Analyst shall work with the IT Department to identify responsive emails including developing a list of key words to include in the search and identifying relevant email addresses.
- C. The CPRA Analyst shall gather all potentially responsive records, including confidential documents and documents potentially subject to privilege. Center personnel shall not create a record in response to a CPRA request that does not otherwise exist, without supervisor approval. The General Counsel shall be consulted in these instances.

Section 4.4 Response Timelines

- A. The Center is required to respond to records requests promptly, but no later than 10 calendar days after receipt of the request.¹³ If the tenth day falls on a weekend or a holiday, the due date is the next business day. For example, if the Center receives a request on February 1, then the tenth day is February 11. If February 11 is a Saturday, then the response is due on Monday, February 13.
- B. The Center is not required to produce documents within 10 calendar days, but the CPRA Analyst must respond to the requester in writing with most applicable option below:
 - i. Inform the requester that the Center has no responsive records.

¹³ Gov. Code, § 7922.535

- ii. Produce non-exempt, responsive records, citing the appropriate exemptions for any redacted or withheld records and identifying the name and title of person responsible for the claim of exemption.
- iii. Inform the requester that the Center has responsive records and set a reasonable date in the future for production. The documents may be produced at one time or on a rolling basis. Consult your supervisor about the timing of the production depending on the complexity of the response.
 - a. If the records need to be produced on a rolling basis, establish a production schedule and share the schedule with the requester.
 - b. Production should include non-exempt, responsive records, citing the appropriate exemptions for any redacted or withheld records and identifying the name and title of person responsible for the claim of exemption.
- iv. Inform the requester that the Center is taking an extension of 14 calendar days to determine whether it has potentially responsive records. The Center does not need to request the extension, but may take the extension as matter of right.
 - a. This extension must be made pursuant to Government Code section 7922.535, subdivision (c)(1)-(5), citing one or more of the following reasons:
 - (i) The need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request.
 - (ii) The need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records that are demanded in a single request.
 - (iii) The need for consultation, which shall be conducted with all practicable speed, with another agency having substantial interest in the determination of the request or among two or more components of the agency having substantial subject matter interest therein.
 - (iv) The need to compile data, to write programming language or a computer program, or to construct a computer report to extract data.
 - (v) The need to search for, collect, and appropriately examine records during a state of emergency proclaimed by the

Governor in the jurisdiction where the agency is located when the state of emergency currently affects, due to the state of emergency, the agency's ability to timely respond to requests due to staffing shortages or closure of facilities where the requested records are located. This shall not apply to a request for records created during and related to the state of emergency proclaimed by the Governor.

- b. After the 14 day deadline, the Center must respond pursuant to Sections 4.4.B.i-iii above.

Section 4.5 Producing the Records

- A. If amenable to the requester, the CPRA Analyst shall make responsive records available via the CPRA Portal. The requester shall not be charged for production pursuant to this subdivision.
- B. The CPRA Analyst may also email responsive records to the requester, if preferred by the requester.
- C. When producing hard copies, the Center may charge \$0.10 per page or \$5.00 per CD or flash drive.
 - i. Center personnel shall receive payment before making copies that would cost \$20 or more. Center personnel shall estimate the charge for the copies and inform the requester that the Center will refund any overages.
 - ii. Center staff may not charge the requester for the time collecting or processing the records and may only charge for the direct cost of duplicating the records.
 - a. Exceptions may be made when the request requires data compilation, extraction, or programming or the Center would be required to produce a copy of an electronic record and the record is one that is produced only at otherwise regularly scheduled intervals. Consult with the General Counsel in these instances.¹⁴

Section 4.6 Exemptions

- A. Center personnel shall only redact the specific portion of the record that is exempt. Redactions should not only black out the information but also delete any embedded data, such as hyperlinks.

¹⁴ Gov. Code, § 7922.575

- B. Information contained in a record that is non-responsive to the CPRA request shall not be redacted. Only information that is subject to an exemption may be redacted.
- C. Potentially responsive records shall be reviewed to confirm that the records are public records and to assess whether an exemption applies. Non-public records are records that are primarily personal, containing no more than incidental mentions of agency business. Non-public records are not subject to the CPRA and are not required to be disclosed for a CPRA request.
- D. Common exemptions:
 - i. The “catch-all” exemption. Information or documents may be withheld if the Center can demonstrate that on the facts of the particular case the public interest served by non-disclosure clearly outweighs the public interest served by disclosure.¹⁵
 - ii. Personnel, medical or similar files of center employees, the disclosure of which would constitute an unwarranted invasion of person privacy.¹⁶
 - iii. Center employee home addresses, home telephone numbers, personal cell phone numbers, and birth dates.¹⁷
 - iv. Documents specifically prepared by, or at the direction of, the Center for use in existing or anticipated litigation.¹⁸
 - v. Attorney-Client Privileged Communications or Attorney Work Product.¹⁹
 - vi. Trade Secrets²⁰
 - vii. Records deemed confidential pursuant to state or federal law (e.g., Welfare and Institutions Code, CMIA, HIPAA).²¹

Section 4.7 Violations

Violation of this policy may result in disciplinary action, up to and including termination.

¹⁵ Gov. Code, § 7922.000

¹⁶ Gov. Code, § 7927.700

¹⁷ Gov. Code, § 7928.300

¹⁸ Gov. Code, § 7927.200

¹⁹ Gov. Code, § 7927.700; Evid. Code, § 954 et seq.; Code Civ. Proc., § 2018.030

²⁰ Civ. Code, § 3426.1(d)

²¹ Gov. Code, § 7927.705

KERN REGIONAL CENTER
BOARD OF DIRECTORS POLICY

SUBJECT: ELECTRONIC COMMUNICATIONS POLICY
POLICY NO.: TBD
DATE: Anticipated Board of Director's approval date: 10/28/2025

ARTICLE I. PURPOSE

The purpose of this Policy is to establish standard operating procedures, guidelines, and clear and concise direction regarding the retention of emails, including their attachments, in the possession of the Kern Regional Center ("Center"). The intent of this Policy is to prevent the unauthorized access to or disclosure of sensitive information prepared, owned, used, or retained by the Center and to comply with the California Electronic Communications Privacy Act¹, California Public Records Act ("CPRA")² and all other state and federal regulatory requirements.

ARTICLE II. DEFINITIONS

Section 2.1 Definitions

- A. **Account** shall mean any private or Center email account used for Center Business.
- B. **Center Business** center business shall be construed broadly to mean information relating to the conduct of the public's business or communications concerning matters that support the Center's mission.
- C. **Center Network** any Internet access, computer server, computer network, intranet, local area network, wireless network, e-mail system, cloud storage system, or file-sharing system owned or made available by the Center.
- D. **Center Personnel** shall collectively refer to all Center employees, board members³, appointed officials, and anyone who prepares, owns, uses, or retains public records on behalf of the Center.
- E. **Center Staff** any employee of the Center and any other non-employee in lawful possession of electronic communications related to Center Business.
- F. **CPRA Analyst** Chief Equity Officer or his/her designee.
- G. **CPRA Portal** is a web-based system where members of the public may submit CPRA requests to the Center and the Center may respond, including the production of records.

¹ Pen. Code, § 1546

² Gov. Code, § 7920.000 *et seq*

³ Welf. & Inst. Code, § 4622

- H. **CPRA Request** is a request by a member of the public to inspect and/or to receive a copy of Center records. Commonly requested records include emails related to a particular subject matter, and Center contracts.
- I. **Deletion** complete destruction of email without permitting duplicates, either electronic or hard copies.
- J. **Electronic Communications** any and all electronic transmissions, and every other means of recording upon any tangible thing in any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored. Without limiting the nature of the foregoing, "electronic communications" include e-mails, texts, voicemails, and include communications on or within commercial applications ("Apps") such as Facebook Messenger, Twitter, WhatsApp, etc.
- K. **Electronic Device** a device depending on the principles of electronics and using the manipulation of electron flow for its operation, including but not limited to cellular telephones, laptops and desktop computers, hotspots, tablets, pagers, cameras, televisions, and DVD/CD players.
- L. **Electronic Mail** or ("Email") messages sent within the Center's Electronic Messaging application.
- M. **Electronic Messaging Account** any account that creates, sends, receives, or stores electronic communications, such as email messages or text messages, or voicemail messages.
- N. **Excessive Use** is defined as "Excessive" if it interferes with normal job functions, impacts responsiveness, and/or the ability to perform daily job activities.
- O. **Exchange Email Server** the server used to store the Center's electronic messages.
- P. **Listserves** a messaging function hosted by server computers that automatically mails messages to subscribers and can be referred to as "electronic bulletin boards."
- Q. **Public Record** shall mean "Public Record" as defined in the California Public Records Act ("CPRA").⁴ The CPRA defines "public records" as "any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics" and further defines a "writing" as "any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures,

⁴ Gov. Code, § 7920.000 et seq.

sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.”⁵

- R. **Retention** preservation of an email in such a way that does not permit additions, deletions, or changes to the original document, without creating a duplicate of the record.
- S. **Writing** shall mean any typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and any record thereby created, regardless of the manner in which the record has been stored.

Section 2.2 General Scope

This Policy shall apply to all Center Personnel who may have access to or use of the Center Network and shall be interpreted to be consistent with other Center-wide policies. This includes all who may have been issued Center-owned technology or a Center-issued electronic messaging account, including all Center Personnel and Center Staff. Furthermore, this Policy applies when Center-issued technology is used on or off Center property and when non-Center devices access the Center Network or private information prepared, used, or retained by the Center.

Hardware and software issued to Center Personnel is the property of the Center and may only be used for approved purposes.

Personal use of the Center Network, that is deemed to be excessive, interferes with performance by Center Personnel, or that is intended for personal monetary gain, is strictly prohibited.

Those in violation of this Policy could be subject to disciplinary action up to and including dismissal and/or termination of contract, as described in further detail under the “Violations” Section of this Policy.

All questions regarding the interpretation or applicability of this Policy should be directed to the Chief Equity Officer or his/her designee for clarification.

ARTICLE III. POLICY & PROCEDURES

Section 3.1 Policy and Procedures

1. All Center Personnel shall be assigned a Center issued Electronic Messaging Account.
2. Center accounts shall be used to conduct Center Business.

⁵ Gov. Code, § 7920.530

3. All Center Personnel shall, within [15 days] following the adoption of this Policy, search all private, non-Center issued electronic messaging accounts to which they have user access and locate any electronic communications that might constitute a Public Record, because it involves Center Business, as set forth above. All such communications shall be forwarded to the Center Personnel's Center provided account. To the extent the Center Personnel believes that any part of such communications contain personal matters not related to the conduct of the public's business, the Center Personnel shall provide a declaration, as set forth in paragraphs 10 and 11, below.
4. The Center account, along with the access to the Center's account server, are solely for the Center and Center Personnel's use to conduct Center Business and shall not be used for personal business or political activities. Incidental use of Center electronic messaging accounts for personal use by Center Personnel is permissible, though not encouraged.
5. If a Center Personnel receives an electronic message regarding Center Business on their non-Center electronic messaging account, or circumstances require such person to conduct Center business on a non-Center account, the Center Personnel shall either: (a) copy ("cc") any communication from a Center Personnel's personal electronic messaging account to their Center electronic messaging account; or (b) forward the associated electronic communication to their Center account no later than [10 days] after the original creation or transmission of the electronic communication.
6. Center Personnel shall endeavor to ask persons sending electronic communications regarding Center Business to a personal account to instead utilize the Center Personnel's account, and likewise shall endeavor to ask a person sending an electronic communication regarding non-Center Business to use the Center Personnel's personal or non-Center electronic messaging account.
7. Center Personnel understand they have no expectation of privacy in the content of any electronic communication sent or received on a Center account or communication utilizing Center servers. Center-provided electronic devices, including devices for which the Center pays a stipend or reimburses the Center Personnel, are subject to Center review and disclosure of electronic communications regarding Center Business. Center Personnel understand that electronic communications regarding Center Business that are created, sent, received or stored on an electronic messaging account, may be subject to the CPRA, even if created, sent, received, or stored on a personal account or personal device.
8. In the event a CPRA request is received by the Center seeking electronic communications of Center Personnel, the Chief Equity Officer or his/her designee shall promptly transmit the request to the applicable Center Personnel whose electronic communications are sought. The Chief Equity Officer or his/her designee shall communicate the scope of the information requested to the applicable Center Personnel, and an estimate of the time within which the Chief Equity Officer or his/her designee intends to provide any responsive electronic communications to the requesting party.

9. It shall be the duty of each Center Personnel receiving such a request from the Chief Equity Officer or his/her designee to promptly conduct a good faith and diligent search of their personal electronic messaging accounts and devices for responsive electronic communications. The Center Personnel shall then promptly transmit any potentially responsive electronic communications to the Chief Equity Officer or his/her designee. Such transmission shall be provided in sufficient time to enable the Chief Equity Officer or his/her designee to adequately review and provide the nonexempt electronic communications to the requesting party.
10. In the event a Center Personnel does not possess, or cannot with reasonable diligence recover, responsive electronic communications from the Center Personnel's electronic messaging account, the Center Personnel shall so notify the Chief Equity Officer or his/her designee by way of a written declaration, signed under penalty of perjury. In addition, a Center Personnel who withholds any electronic communication identified as potentially responsive must submit a declaration, signed under penalty of perjury with facts sufficient to show the information is "personal business" and not "public business" under the CPRA. The form of the declaration is attached hereto as Attachment A.
11. It shall be the duty of the Chief Equity Officer or his/her designee, in consultation with the Center's General Counsel, to determine whether a particular electronic communication, or any portion of that electronic communication, is exempt from disclosure. To that end, the responding Center Personnel shall provide the Chief Equity Officer or his/her designee with all potentially responsive electronic communications, and, if in doubt, shall err on the side of caution and should "over produce." If an electronic communication involved both "public business" and a personal communication, the responding Center Personnel may redact the personal communication portion of the electronic communication prior to transmitting the electronic communication to the Chief Equity Officer or his/her designee. The responding Center Personnel shall provide facts sufficient to show that the information is "personal business" and not "public business" by declaration. In the event a question arises as to whether or not a particular communication, or any portion of it, is a public record or purely a personal communication, the Center Personnel should consult with the Chief Equity Officer or his/her designee or the Center General Counsel. The responding Center Personnel shall be required to sign a declaration, in a form acceptable to the Center General Counsel, attesting under penalty of perjury, that a good faith and diligent search was conducted and that any electronic communication, or portion thereof, not provided in response to the CPRA request is not Center Business.
12. Center Personnel understand that electronic communications regarding Center Business are subject to the Center's approved Records Retention Schedule, even if those electronic communications are or were created, sent, received or stored on a Center Personnel's personal electronic messaging account. As such, unless the Center Personnel has cc'd/transmitted electronic communications in accordance with paragraph 5 above, that Center Personnel must retain all electronic communications regarding Center Business, in accordance with the Center's adopted Records Retention Schedule, regardless of whether such electronic communication is originally sent or received on a personal electronic messaging account.
13. This Policy does not waive any exemption to disclosure that may apply under the CPRA.

Section 3.2 Retention

All Center emails shall be maintained in accordance with the Center's approved Records Retention Schedule, except as provided below.

Emails may be subject to longer retention periods as determined by the content of the email.

A. Applicable Retention Period

- i. Center Personnel may be required to retain emails subject to a longer retention period. This is determined by applicable laws, regulations, Center policies, and/or Records Retention Schedules. Specifically, emails subject to a legal hold, subpoena, CPRA request, claim against the Center, administrative charge or investigation, or similar proceeding, which is in progress or which can reasonably be anticipated, shall also be retained.
- ii. Center personnel shall consider an email's attachments when determining whether the email needs to be retained.
- iii. It is the responsibility of the sender of an internal email to determine the retention period of an email based on the subject matter of the email.
- iv. It is the responsibility of the recipient of an email received from outside the Center to determine the retention period of an email based on the subject matter of the email.
- v. Center personnel may extend the retention period of an email if it has significant or continuing business or historical value.

B. Storing Emails

- i. Center personnel may store emails in subfolders on their Exchange Email Server. Emails in a subfolder shall not be subject to automatic deletion.
- ii. Center personnel may also store emails in locations other than subfolders that appropriately retain the email, including metadata.
- iii. Center personnel **shall not** use PST files to store emails outside of the Exchange Email Server. Any existing PST files shall be provided to the Information Technology Department for inclusion into an email archive solution accessible by the employee providing such data.
- iv. Upon separation of an employee, a copy of that individual's email account shall be created and maintained for a period of [two years] following a review of the emails that may need to be retained longer.

- v. Emails shall be deleted, when permitted by law and policy, in a timely and cost-efficient manner so as to destroy the writing without permitting duplicates, either electronic or hard copies.

Section 3.3 Legal

If any paragraph, sentence, clause, or phrase of this Policy is held unlawful or invalid for any reason, said unlawfulness or invalidity shall not affect the remaining portions of this Policy. Additionally, due to the ever changing facets of the realm of Information Technology and its related areas, this Policy shall not be construed to be all inclusive. Revisions to this Policy shall be made periodically in an effort to keep up with changing technology.

HISTORY

Approved on

Board of Directors

Attachment A

DECLARATION

[Attached on following page]

In the matter of:

California Public Records Act Request
Pursuant to Gov. Code § 7920.000 *et seq.*

Re: _____

Insert shorthand name of record request, including
request number, if applicable

Requester: _____
Print or type name of requester

Declaration of:

Print or type name of Personnel

**Re: Search of Personal Electronic Messaging
Account**

STATE OF CALIFORNIA
COUNTY OF [INSERT COUNTY]
KERN REGIONAL CENTER

I, _____ declare:
Print name

1. I received notice of a California Public Records Act ("CPRA") request regarding a search of my personal electronic messaging account(s).
2. I understand that the CPRA request seeks:

_____.

I am the owner or authorized user of the following personal electronic messaging account and have the authority to certify the records.

3. I have made a good faith, diligent, thorough, and complete search of the above mentioned personal electronic messaging account(s) for all electronic communications potentially responsive to the above mentioned CPRA request.
4. Any responsive electronic communications discovered, and referenced below, were prepared or used by me in the ordinary course of business at or near the time of the act, condition, or event.
5. Any responsive electronic communications discovered, and referenced below, are true copies of all records described in the above mentioned CPRA request.

Check the applicable box:

- ☐ I certify that I do not possess responsive electronic communications.
- ☐ I certify that I cannot reasonably recover responsive electronic communications.

(Explain efforts to retrieve responsive electronic communications and why you were unable to recover responsive electronic communications.)

- ☐ I certify that I discovered potentially responsive electronic communications from my personal electronic messaging account, but I am withholding that information because the information is "personal" business. This is for the following reasons:

(Describe with sufficient facts why the contested information is personal business and not subject to the CPRA. Attach additional pages, if necessary.)

- ☐ I certify that I discovered potentially responsive electronic communications from my personal electronic messaging account. I am providing all responsive information. However, some information is nonresponsive and I am withholding that information, because the information is personal business. This is for the following reasons:

(Describe with sufficient facts why the contested information is personal business and not subject to the CPRA. Attach additional pages, if necessary.)

I declare under the laws of the State of California that the foregoing is true and correct and that I have personal knowledge of the facts set forth above.

Executed this ____ day of _____, 20____, in _____, California.

By: _____
Print Name: _____

ATTACHMENT B

Email Retention Policy Acknowledgment

I hereby acknowledge that I have received a copy of the Kern Regional Center's Electronic Communications Policy and that I understand that I am to read and comply with its contents. I am aware that failure to comply with this Policy will lead to disciplinary action, up to and including termination. I further understand that if I have any questions about this Policy or its contents, I am to discuss them with my supervisor or Chief Equity Officer or his/her designee.

Print Employee Name

Employee Signature

**KERN REGIONAL CENTER
BOARD OF DIRECTORS POLICY**

SUBJECT: RECORDS AND INFORMATION MANAGEMENT PROGRAM
POLICY
POLICY NO.: TBD
DATE: Anticipated Board of Director's approval date: 10/28/2025

I. PURPOSE

The purpose of this Records and Information Management Program Policy ("Policy") is to establish comprehensive and uniform methods for cost effective and efficient management of Kern Regional Center ("Center") records in accordance with legal and professional standards. This policy ensures that all records necessary for operational, legal, and regulatory purposes are preserved for a period sufficient to meet business and compliance requirements, but not retained longer than is reasonably necessary.

II. AUTHORIZATION

The Equity Department is authorized by the Kern Regional Center Board of Directors to interpret and implement this Policy and shall be responsible for the administration of this Policy. The Chief Equity Officer or designee is authorized to perform any and all acts necessary to comply with the terms and intent of this Policy. The Chief Equity Officer is responsible for the retention of Center records and the destruction of any obsolete records that meet the qualifications governing the retention and disposal of records as specified below.

II. POLICY

Policies and procedures, under the supervision and administration of the Chief Equity Officer are hereby established for the coordination, administration and implementation of the Records and Information Management Program, under which Center records are retained for administrative, operational, legal, fiscal, historical or research purposes.

III. GENERAL GUIDELINES

A. Definitions. As used in this Policy, the following terms shall have the following meanings:

(1) "Records" shall mean any writing containing information relating to the conduct of the Center's business that is prepared, owned, used, or retained by the Center regardless of physical form or characteristics.¹

¹ Gov. Code § 7920.530

(2) "Writing" means handwriting, typewriting, printing, photographing, photocopying, electronic mail ("email"), facsimile ("fax"), and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and any record thereby created, regardless of the manner in which the record has been stored.²

B. The Chief Equity Officer shall be responsible for the administration of this Policy and shall assist all Center personnel to comply with the provisions of this Policy and with the Records Retention Schedule, set forth in Attachment "A". Each Center Department shall also be responsible for assisting the Chief Equity Officer in the performance of the duties required by this Policy. The Chief Equity Officer or their designee will distribute this Policy to all Center personnel. Each Department Director is responsible for ensuring that the records under their control are maintained and destroyed in accordance with this Policy. The policy shall be revised as necessary to meet legal and administrative requirements.

To perform this function, the Chief Equity Officer shall on an on-going and periodic basis:

- (a) Create, maintain and distribute the necessary forms to implement the Records and Information Management Program.
- (b) Develop and maintain a retention and disposition schedule for all Center records, including the preparation of any amendments as dictated by statute or administrative policy.
- (c) Maintain a current inventory and index of Center records.
- (d) Establish guidelines and coordinate periodic reviews of Center records to determine which records are eligible for destruction in accordance with the Records Retention Schedule and subject to the approval of the Department Director, and Center Counsel.
- (e) Coordinate with all Center Departments, on a routine basis, the timely destruction of obsolete records according to the procedures herein. Certify and document that records have been destroyed. Certificates of Destruction shall be permanently kept on file with the office of the Chief Equity Officer.
- (f) Oversee the special handling of confidential, historical, and essential records, and ensure the safety of Vital Records in the event of a disaster.
- (g) Maintain accurate and timely electronic databases and a uniform filing system of all legislative actions affecting the creation, utilization, maintenance, retention,

² Gov. Code § 7920.545

preservation and disposition of Center records, in order to efficiently track and retrieve Center records.

Center Departments have the following responsibilities:

- (a) Each Department Director is responsible for designating a qualified Department Records Coordinator, who shall serve on the Records and Information Management Committee once established.
- (b) Each Department Director or designee is responsible for maintaining a reliable and accurate filing system to ensure the efficient maintenance, retrieval and disposition of the records under their control.
- (c) Each Department Director or designee is responsible for ensuring that obsolete records under their control are destroyed in a timely manner, and authorizing the destruction, in accordance with the policies and procedures stated herein.
- (d) Each Department Director or designee is responsible for submitting a request for any necessary revisions to its Records Retention Schedule, to the Chief Equity Officer who will review the request and submit a recommendation to the Center Counsel and Center Board of Directors for official approval.
- (e) Each Department Director or designee is responsible for maintaining and controlling the disposition of records.
- C. The following general guidelines apply to all Center records.
 - (a) The Chief Equity Officer may authorize at any time the destruction of any duplicate records if they are no longer required.
 - (b) Unless otherwise provided by State or federal law, the Chief Equity Officer may authorize the destruction of any original document, with written consent from the Center Counsel, without retaining a copy of the document as long as the retention and destruction of the document complies with the retention schedule as set forth in this Policy.
 - (c) In addition to the retention periods required under this Policy, the Center shall retain original administrative, legal, and fiscal records with continued value (i.e., records related to long-term transactions and/or special projects) until all matters pertaining to such records are completed or otherwise resolved.
 - (g) Ensure all records required to be retained due to pending or threatened litigation or investigation shall be retained for so long as the litigation or investigation is active, plus any additional period as may be provided for in this Policy and the Records Retention Schedule.

D. Duplicate Records. The Chief Equity Officer is authorized to destroy at any time any duplicate record of the Center, including duplicate records, if the duplicate is no longer required for Center business.

E. Exceptions to Scheduled Destruction of Obsolete Records. Scheduled destruction of records that have met or exceeded their retention periods must be postponed if the records are responsive to, subject to, or relate in some way to any of the following:

- (a) A pending California Public Records Act³ request received by the Center;
- (b) A subpoena served on the Center;
- (c) A Request for Production received by the Center from an opposing party in litigation;
- (d) A court order; or
- (e) A litigation hold or request for preservation of evidence received by the Center

The above exceptions apply to both hard copy and electronic records.

IV. REQUIRED FORMS

The following forms are to be utilized by all Center Department Directors or their designees in order to efficiently and accurately identify, inventory, transfer to storage, retrieve, and destroy records under their control: (Each form, including instructions, is attached hereto.)

- A. Records Retention Schedule Form (Attachment A), incorporated by reference herein.

This form governs the mandatory disposition of Center records by indicating the minimum length of time records shall be maintained in the office and in storage, and the time period after which they may be destroyed.

The "Records Retention Schedule" is attached to this Policy as Attachment A and is incorporated herein by reference. This Policy and the Records Retention Schedule comply with State and federal law. The Records Retention Schedule may be updated from time to time by the Chief Equity Officer, as authorized by this Policy. The Retention Schedule was created based on a detailed examination of the Records Inventory & Identification Forms, and Interviews with each department to determine the legal, vital, administrative, or historical value of the records. Applicable codes and statutes are referenced to determine the required retention period. Retention schedules and amendments thereto are approved by the Center Counsel, Chief Equity Officer and Department Head.

³ Gov. Code §7920.000 *et seq.*

V. PROCEDURE

Upon the request of the Department Head and with the written consent of the Center General Counsel and the Chief Equity Officer or designee, the records identified in the Records Retention Schedule are authorized to be destroyed on an on-going basis in accordance with the retention periods described therein without the necessity of a specific resolution of the Center Board of Directors.

The Office of the Chief Equity Officer or designee shall be responsible for scheduling and coordinating with all Center Departments the destruction of records on an annual basis. The appropriate forms will be distributed to all Center Departments in order to document the records to be destroyed.

It shall be required that the Department Head, Center Counsel, and Chief Equity Officer or designee authorize and sign each "Authority to Destroy Obsolete Record" form (Attachment B), incorporated by reference herein, prior to the records being destroyed.

NOTE: It is critical that the requests for Authority to Destroy Obsolete Records be reviewed carefully by all signatory staff in order to determine whether records listed are involved in litigation, or if there is an administrative and/or operational requirement which may require a temporary extension of the retention period.

Records deemed to be confidential in nature shall be shredded. All other records shall be removed from their locations and taken off site for a secure destruction.

VI. CALIFORNIA PUBLIC RECORDS ACT REQUESTS:

Each department head is responsible for ensuring that a request to inspect or obtain copies of public records is processed according to the procedures pursuant to the California Public Records Act (Gov. Code § 7920.000 *et. seq.*). See the California Public Records Act Policy for specific procedures.

VII. VITAL RECORDS PROTECTION:

Vital Records contain information necessary for the Center to resume operations after a disaster. Each Department Director is responsible for identifying the Vital Records under his/her control and ensuring that the Vital Records are maintained according to the following procedures:

- A. All Vital Records shall be stored in a secure, safe and controlled environment, to protect the records from theft or damage.

- B. Vital Records that are in use but are required to be kept in a secured area, should be returned to said area at the end of each workday. Vital Records should not be allowed to accumulate on desks or in unprotected areas.

RIM Program Policy
Board of Directors Policy: TBD
Administered By: Kern Regional Center's Board of Directors

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ATTACHMENTS

Tip: consider the function of the record. Example: Accounting										Tip: provide any comments/remarks		
Records Series Title	Department	Division	Location	Description/Definition of Records Series (contents, use, include form titles and numbers)	Type	System	Security	Legal	Audit Uses	Vital	Retention	Remarks
Accidents / Damage to Agency Property	Administration			Risk management administration	MX			CCP 337.15			Current + 10 years	
Affidavits of Publication / Posting	Administration			Legal notices for public hearings, etc.	MX			Best Practices			Current + 2 years	
Agenda / Agenda Packets	Administration			Original agendas / special meeting notices / certificates of posting, etc - Board of Directors meetings	MX			Best Practices			Permanent	
Agenda reports (staff reports)	Administration			Documentation received, created and/or submitted to Board of Directors	MX			Best Practices			Permanent	
Appeals - Eligibility	Administration			Fair Hearings - Eligibility	MX			Best Practices			Permanent	
Appeals - Services	Administration			Fair Hearings - Service	MX			Best Practices			Current + 5 years	
Appeals - Fiscal Audits	Administration			Appeals - Fiscal Audits	MX			Best Practices			Audited + 7 years	
Appraisals	Administration			For real property owned by the agency	MX			Best Practices			Current + 2 years	
ARCA	Administration			Correspondence Files	MX			Best Practices			Permanent	
Articles of Incorporation Data	Administration			Articles of Incorporation Data	MX			Best Practices			Permanent	
Board Reports	Administration			Monthly consumer statistics, monthly and quarterly consumer, diagnostics report, appeals report, exception & exemption	MX			Best Practices			Permanent	
Brochures / Publications	Administration			Retain selected documents only for historic value	MX			Best Practices			Current + 2 years	
Bylaws	Administration			Agency Bylaws	MX			Best Practices			Permanent	
Cal-OSHA	Administration			Log of work related injuries & illnesses (Form 300, 301, 300A)	MX			29 USC §651 29 CFR 1904 LC 6410			5 years (Cal safety and toxic exposure records (Chemical must be kept for duration of Audited + 5 years	
Census	Administration			Employee physicals, medical exams and Census data	MX			Best Practices			Audited + 5 years	
Collective Bargaining Agreements / Union and Employee Contracts	Administration			Memoranda of Understanding (MOUs) with employee unions, represented employees	MX			29 CFR 516.2-.10 FLSA 29 USC § 211(c)			Current + 3 years	
Complaints	Administration			Complaints 4731, Early Start, Citizen	MX			Best Practices			Audited + 5 years	
Complaints - Miscellaneous	Administration			Miscellaneous complaints, not related to specific lawsuits involving the agency and not otherwise specifically covered by the Messages, postals/comments on agency-owned social media accounts	MX			Best Practices			Current + 2 years	
Correspondence	Administration			Demographic / Statistical Data	MX			Best Practices			Life of account + 2 years	
Demographic / Statistical Data	Administration			Department of Developmental Services contracts, correspondence	MX			Best Practices			Current + 2 years	
Department of Developmental Services Contracts	Administration			Family Cost Participation Program records	MX			Best Practices WIC 4621 Title 17 § 50252(b)			Permanent	
Family Cost Participation Program	Administration			Property or equipment	MX			CCP 337 CCP 337.2 CCP 343			Audited + 5 years	
Lease Agreement	Administration			Equipment service/maintenance	MX			Best Practices			Until terminated + 4 years	
Maintenance Manuals	Administration			Equipment maintenance/repair records	MX			Best Practices			Life of equipment + 2 years	
Maintenance/Repair Records	Administration				MX			Best Practices			Life of equipment + 2 years	

Tip: consider the function of the record Example: Accounting										Tip: provide any comments/remarks	
Records Series Title	Department	Division	Location	Description/Definition of Records Series (contents, use, include form titles and numbers)	Type	System	Security	Legal	Audit Uses	Vital	Retention
Marketing, Promotional	Administration			Brochures, announcements, etc.	MX			Best Practices			Internal - 2 years External - 7 years
Minutes - Board meetings	Administration			Minutes of the Board of Directors meetings. Documents may be imaged immediately.	MX			Best Practices			Permanent
Newsletters	Administration			May wish to retain permanently for historic reference	MX			Best Practices			Current + 2 years
Oaths of Office	Administration			Board Members & Staff	MX			29 USC 1113			Length of term/employment + 6 years
Policies, Administrative	Administration			All policies and procedures, directives rendered by the District not assigned a resolution number.	MX			Best Practices			Until Superseded
Policies, Board	Administration			Original policies adopted by the Board of Directors	MX			Best Practices			Current + 2 years
Press Releases	Administration			Related to agency actions/activities	MX			Best Practices			2 years
Procedure Manuals	Administration			Procedure Manuals	MX			Best Practices			Until superseded
Property Acquisition/ Disposition	Administration			Agency owned property. Supporting documents regarding sale, purchase, exchange, lease or rental of property by Public Assets from the public to inspect or copy public documents.	MX			CCP 337.15			Until disposition + 10 years
Public Records Request	Administration				MX			Best Practices CG § 7920.000 et. Seq.			Current + 2 years
Records Management Disposition/Destruction Certification	Administration			Documentation of final disposition/destruction of records	MX			Best Practices			Permanent
Records Retention Schedules	Administration			Records Retention Schedules	MX			Best Practices			Current + 4 years
Case Management - Active Cases	Client Services			Active case management files*	MX			Best Practices			Permanent
Clinical Reports	Client Services			*See file plan for case management files Clinical reports (medical, psychological, behavioral, nursing, pharmacy, dental) on individual patients.	MX			Best Practices WIC 4514			Current + 25 years
Vendor Files	Community Services			Vendor files - Program design, payment agreement, application, HIPAA & Business Associate Agreements, W-9, photo ID.	MX			Best Practices			5 years after final payment Title 17 Section 54332 (records that need to be maintained) best practice
Vendor Files - Quality Assurance Reports	Community Services			Quality assurance reports, facility reviews, facility CAPS, follow-up correspondence, complaint investigations. CARF reports	MX			Best Practices			5 years after final payment Title 17 Section 54332 (records that need to be maintained) best practice
Accounting Records - General Ledger	Finance			General Ledger	MX			CCP 337			Until audited + 4 years
Accounting Records - Permanent Books of Accounts Payable	Finance			Records showing items of gross income, receipts and disbursement (including inventories, per IRS regulations)	MX			26 CFR 1.6001-1(c) & (e)			Published articles show 4 - 7 years Permanent
Accounts Receivable	Finance			Accounts receivable and related activities, account postings with supporting documents, vouchers, POS. Investments.	MX			CCP 337 26 CFR 31.6001-1(e)(2)			Until audited + 4 years
Agreements (see also Contracts)	Finance			Receipts for deposited checks, coins, investments, receipt books, receipts, cash	MX			CCP 337 CCP 337.2			4 years after termination/ completion 10 years after
Annual Financial Report	Finance			Original contracts and agreements and back-up materials, including leases, license agreements, service/maintenance	MX			CCP 343 Best Practices			Until audited + 7 years
Audit Reports	Finance			May include independent auditor analysis	MX			CCP 337 CCP 343			Permanent
Bank Account Reconciliations	Finance			Financial services - internal and/or external reports	MX			26 CFR 31.6001-1(e)(2)			Until audited + 4 years
Bids, Successful	Finance			Bank statements, receipts, certificates of deposit, etc.	MX			CCP 337 CCP 337.1			Current + 5 years

Tip: consider the function of the record Example: Accounting										Tip: provide any comments/remarks		
Records Series Title	Department	Division	Location	Description/Definition of Records Series (contents, use, include form titles and numbers)	Type	System	Security	Legal	Audit Uses	Vital	Retention	Remarks
Bids, Unsuccessful	Finance			Unsuccessful bid packages only (Documents should be retained in original format, whether hard copy or electronic)	MX			Best Practices			Current + 2 years	
Bonds	Finance			Authorization/public hearing records/proposals/certificates/n	MX			CCP 337.5			Upon cancellation, redemption, or maturity + 10 years	
Bonds - Employee (Fidelity Bonds)	Finance			Form of insurance that covers employer (Agency) for losses resulting from fraudulent acts of solicited employees	MX			Best Practices			Current + 2 years	
Bonds - Paid/Cancelled	Finance			Paid or cancelled bonds, warrant certificates, interest coupons	MX			CCP 337.5			10 years	
Bonds, Surety	Finance			Documentation created and/or received in connection with the performance of work/services for the Agency	MX			CCP 337			4 years	
Budget, Annual	Finance			Annual operating budget	MX			Best Practices			Permanent	
California State Tax Records	Finance			Forms filed annually, quarterly and year-end reports (tax returns).	MX			R&TC 19530 R&TC 19704			Permanent Minimum 6 years. Administrative decision to retain longer.	
Checks - agency-issued	Finance			Audited Financial Statements. Tax reimbursement to employees, payments to independent contractors, etc. Includes Original contracts and agreements and back-up materials, including leases, service/maintenance contracts, etc.	MX			CCP 337 26 CFR 31.6001-1(e)(2)			4 years after termination/completion 10 years after termination/completion	
Contracts (see also Agreements)	Finance			Original contracts and agreements and back-up materials, including leases, service/maintenance contracts, etc.	MX			CCP 337.2 CCP 344 26 CFR 31.6001-1(e)(2)			Until audited + 4 years	
Credit Cards, agency-owned	Finance			Records related to use of agency-owned credit cards	MX			29 CFR 516.5 29 CFR 1627.3			3 years	
Deferred Compensation Reports	Finance			Finance - pension/retirement funds	MX			26 CFR 31.6001-1.4 26 CFR 31.6001-1(e)(2) 29 CFR 516.5-516.6 CCP 337 CCP 343			Current + 6 years Until audited + 4 years	
Federal Tax Records	Finance			May include as attachments copies of Forms 1095-C, 1096, 1099, W-4 and W-2	MX			CCP 337, 343 VC 9900 et. seq.			Until sold + 2 years	
Fixed Assets Inventory	Finance			Reflects purchase date, cost, account number	MX			CCP 337, 343			Until audited + 4 years	
Fixed Assets Surplus Property	Finance			Auction / disposal - listing of property sales of equipment	MX			VC 9900 et. seq.			Until sold + 2 years	
Fixed Assets Vehicle Ownership & Title	Finance			Title transfers when vehicle is sold.	MX			CCP 337; 26 CFR 31.6001-1(e)(2)			Until audited + 4 years	
Fund Transfers	Finance			Internal; bank transfers & wires	MX			24 CFR 570.502 24 CFR 85.42			Until completed + 4 years	
Grants - Successful Federal and State grants	Finance			Grant documents and all supporting documents: applications, reports, contracts, project files, proposals.	MX			Best Practices			Current + 2 years	
Grants - Unsuccessful	Finance			Applications. Documents showing rejection or denial of application	MX			Best Practices			Current + 2 years	
Insurance	Finance			Personnel related	MX			Best Practices			Current + 2 years	
Insurance Certificates	Finance			Liability, performance bonds, employee bonds, property; insurance certificates filed separately from contracts, includes	MX			Best Practices			Current + 2 years	
Insurance, Liability/Property	Finance			May include liability, property, Certificates of Participation, deferred, use of facilities	MX			Best Practices			Current + 2 years	
Insurance, Risk Management Reports	Finance			Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	MX			29 CFR 1904.44			Current + 5 years (Federal) Current + 2 years (State)	
Investment Reports, Transactions	Finance			Summary of transactions, inventory and earnings report	MX			CCP 337			Permanent	
Invoices	Finance			Invoices from vendors and back-up documents	MX			CCP 337 26 CFR 31.6001-1(e)(2)			Until audited + 4 years	
Payroll - Federal/State Reports	Finance			Annual W-2s, W-4s, Form 1099s, etc.; quarterly and year-end reports	MX			IRS publication 552			Permanent Minimum 7 years. Administrative decision to retain longer	

Tip: consider the function of the record Example: Accounting										Tip: provide any comments/remarks		
Records Series Title	Department	Division	Location	Description/Definition of Records Series (contents, use, include form titles and numbers)	Type	System	Security	Legal	Audit Uses	Vital	Retention	Remarks
Payroll Deduction/ Authorizations	Finance			Finance	MX			29 CFR 516.6(c)			While Current + 7 years	
Payroll records	Finance			Records that specify compensation paid to employees, officers (Documents are to be retained in original format, whether hard or electronic)	MX			IRS publication 552			7 years after date of payment	
Payroll records -employee information	Finance			Records showing employee information/data – names, addresses, etc.	MX			29 CFR 516.5 LC 1174(d)			3 years from date of last entry	
Payroll records, terminated employees	Finance			Finance files (documents are to be retained in original format, whether hard copy or electronic)	MX			29 CFR 516.5			7 years from date of last entry	
Payroll, registers	Finance			Payroll records (documents are to be retained in original format, whether hard copy or electronic)	MX			29 CFR 516.5(a) LC 1174(d)			7 years from date of last payment	
Payroll, time cards/sheets	Finance			Employee	MX			29 C.F.R. 516.6 LC 1174			Current + 3 years	
Payroll - Wage Rates / Job Classifications	Finance			Employee records	MX			LC 1197.5(d) LC 1174(d) GC 12946 CCP 337			Current + 3 years	
Purchasing RFQ's, RFP's	Finance			Requests for Qualifications; Requests for Proposals regarding goods and services, copies of notices, copies of proposals, Original Documents	MX			LC 1197.5(d) LC 1174(d) GC 12946 CCP 337			Until audited + 4 years	
Purchasing, Requisitions, Purchase Orders	Finance				MX			CCP 337			Until audited + 4 years	
Returned Checks	Finance			Adjustments-NSF, etc. (not District checks)	MX			CCP 337			Until audited + 4 years	
State Tax Records	Finance			Forms filed annually, quarterly and year-end reports	MX			CCP 337 CCP 343			Until audited + 4 years	
Unemployment Insurance Records	Finance			Records relating to unemployment insurance – claims, payments, correspondence, etc.	MX			R&TC 19530 R&TC 19704			Current + 6 years	
Vouchers - Payments	Finance			Account postings with supporting documents	MX			26 USC 3301-3311; Calif. Unemployment Insurance Code; CCP 343			While current + 4 years	
Wage Garnishment	Finance			Wage or salary garnishment	MX			CCP 337			Until audited + 4 years	
Workers Compensation Files	Finance			Work-injury claims (including denied claims); claim files, reports, etc.	MX			CCP 337			Active until garnishment is satisfied; then retain until audited + 4 years	
Recruitments and Selection	Human Resources			Records relating to hiring, promotion, selection for training	MX			8 CCR 10102			Until the latest of the following dates: 5 years from date of injury; or 1 year from date compensation was last provided; or Current + 3 years	
EEOC Records	Human Resources			Records, reports showing compliance with federal equal employment requirements (EEO-4 Reports, etc.)	MX			29 CFR 1627.3			Current + 3 years	
(Equal Employment Opportunity Job Descriptions	Human Resources			Descriptions of duties, qualifications, responsibilities for each position/position title	MX			29 CFR 1627.3			Current + 3 years	
Family and Medical Leave Act	Human Resources			Records of leave taken; District policies relating to leave, notices, communications relating to taking leave	MX			29 CFR 825.500 GC 12946			While employed +3 years (federal) or 2 years (State)	
Employee Benefits	Human Resources			Retirement Plan - annual reports required to be filed under ERISA	MX			29 USC 1027 29 CFR 1627.3(b)(2)			Current + 6 years Current + 2 years	
Personnel Policies – Rules and Regulations	Human Resources			Employee Benefit Plan – original including employee handbooks, employee manuals, and other policies/procedures	MX			29 CFR 516.6 29 CFR 1627.3(a)			Current + 3 years	
Personnel Records	Human Resources			Other records (not payroll) – job applications, resumes; records relating to promotion, demotion, transfer, layoff. Studies or surveys of other agencies	MX			GC 12946 29 CFR 1627.3			Current + 3 years	
Salary/Compensation Studies, Surveys	Human Resources			Studies or surveys of other agencies regarding compensation and other	MX			Best Practices			While current + 2 years	
DMV Driver's Records Reports (DMV Pull/Notice System)	Human Resources			Motor vehicle pulls – Personnel record—Exempt from public disclosure.	MX			VC 1808.1(c)			Until superseded (should receive new report every 12 months)	
Employee Benefits	Human Resources			Benefit plans (including "cafeteria" and other plans), health insurance programs, records regarding COBRA – extension of	MX			29 USC 1027 28 CCR 1300.85.1 11 CCR 560			For life of plan/policy + 6 years	

Tip: consider the function of the record. Example: Accounting										Tip: provide any comments/remarks		
Records Series Title	Department	Division	Location	Description/Definition of Records Series (contents, use, include form titles and numbers)	Type	System	Security	Legal	Audit Uses	Vital	Retention	Remarks
Employee Bonds (Fidelity Bonds)	Human Resources			Form of insurance that covers employer for losses resulting from fraudulent acts of specified employees	MX			Best Practices			While employed + 2 years	
Employee Files	Human Resources			Personnel files – Exempt from disclosure	MX			GC 12946 2 CCR 11013(b), (c)(2)			While current + 4 years	
Employee Information, General	Human Resources			Name, address, date of birth, occupation	MX			29 CFR 1627.3(a) LC 1174			3 years	
Employee Information, Payroll	Human Resources			Rate of pay and weekly compensation earned (documents are to be retained in original format, whether hard copy or electronic)	MX			29 CFR 1627.3(a)			7 years	
Employee Information - CEIR	Human Resources			Personnel files – Exempt from disclosure	MX			2 CCR 11013(a), (c)(2) GC 12946			Current + 2 years	
Accident/Illness Reports	Human Resources			Information Report (for employers of 100 or more employees)	MX			8 CCR 3204(d)(1)(A)(B)			Length of employment plus 30 years	
Employee, Medical & Exposure Records (toxic substances or harmful physical agents)	Human Resources			Employee Medical Records & Employee Exposure Records regarding exposure to Does not include first-aid records of one-time treatment made on-site by a non-physician or observation of minor scratches. Includes EAP and Recognition	MX			8 CCR 3204(d)(1)(A)(B)			Length of employment plus 30 years	
Employee, Recruitment	Human Resources			Alternate listings, ethnicity disclosures, examination materials, examination questions	MX			GC 12946			Current + 2 years	
Employee, Reports	Human Resources			Employee statistics, benefit activity, liability loss	MX			GC 12946 29 CFR 1602.31 29 CFR 1627.3 GC 12946			Current + 3 years Current + 2 years	
Employment Applications - Not Hired	Human Resources			Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to Federal Immigration and Nationality Act	MX			GC 12946 29 CFR 1627.3(b)(1)(X)			Current + 2 years	
Employment Eligibility Verification (I-9 Forms)	Human Resources				MX			8 USC 1324a (b)(3)			3 years after date of hire, or 1 year after date of termination, whichever is later	
Employment - Personnel (by name)	Human Resources			Paperwork documenting internal and external training	MX			GC 12946			Length of employment + 2 years	
Employment - Surveys and Studies	Human Resources			Includes classification, wage rates	MX			29 CFR 516.6(a)(2)			Current + 2 years	
Employment - Training Records	Human Resources			Volunteer program training - class training materials, internships	MX			GC 12946			Length of employment + 2 years	
Employment - Vehicle Mileage Reimbursement Rates	Human Resources			Annual mileage reimbursement rates	MX			Best Practices			Until superseded	
ERISA Records	Human Resources			Employee Retirement Income Security Act of 1974	MX			29 USC 1027			6 years after date filed	
(Employee Retirement Income Ethics Training Records	Human Resources			- plan reports. certified information filed Records required to be kept. Records must show dates of officials and Records of their salaries and benefits. Records of their salaries and benefits relating to leave, notices, communications relating to sick leave	MX			29 CFR 825.500 GC 12946			While employed +3 years (federal) or 2 years (State)	
Family and Medical Leave Act	Human Resources			System backups	MX			Best Practices			Until superseded	
System Backups	Information Technology			Software licensing	MX			Best Practices			Until Superseded	
Software	Information Technology			Confidential – not for public disclosure (attorney-client privilege)	MX			Best Practices			Until superseded + 2 years	
Legal Opinions	Legal			Case files (Documents are to be retained in original format, whether hard copy or electronic)	MX			8 CCR 10102 8 CCR 15400.2			Until settled or adjudicated Retain all Settlement Agreements for at least 5 years after the last date for	
Litigation - Case Files - Operations	Legal			Case files (Documents are to be retained in original format, whether hard copy or electronic)	MX			8 CCR 10102 8 CCR 15400.2			Retain all Settlement Agreements for at least 5 years after the last date for	
Litigation - Case Files - Consumer	Legal			Case files (Documents are to be retained in original format, whether hard copy or electronic)	MX			8 CCR 10102 8 CCR 15400.2			Retain all Settlement Agreements for at least 5 years after the last date for	
Litigation - Case Files - Vendor	Legal			Case files (Documents are to be retained in original format, whether hard copy or electronic)	MX			8 CCR 10102 8 CCR 15400.2			Retain all Settlement Agreements for at least 5 years after the last date for	

Kern Regional Center
Authority to Destroy Obsolete Record and Certificate

Department: Location:		Department Director: Date:	
Records listed below are now eligible for destruction in accordance with the approved records retention schedule. Please indicate your approval for the destruction unless a reason to delay exists. Your signature below attests that no unresolved (1) audit questions, (2) investigations, (3) civil suits or criminal prosecutions, or (4) other reasons for delaying destruction exist. If the destruction is to be delayed, please give the reason in the space indicated and provide a revised destruction date.			
Records Disposed (*see attached list if applicable):			
Records Series Title	Records Description	Scheduled Destruction Date	Revised Destruction Date
Reason(s) for Continued Retention:			
Confidential Destruction ☐ Yes ☐ No		Department Director (signature)	
		Date	
Certificate of Destruction This completed and signed form certifies that the records listed above have been destroyed on the date shown below. Total # of Boxes Destroyed: _____ Total # of Files Destroyed: _____			Date:
If Confidential Destruction, Witnessed By (signature)			
Chief Equity Officer (Signature):			Date:

Attachment 3

KERN REGIONAL CENTER
PURCHASE OF SERVICE
FY 2025-2026
AS OF SEPTEMBER 30, 2025

PURCHASE OF SERVICES	07/31/25	08/31/25	09/30/25	2025-2026 Total
OUT-OF-HOME				
Community Care Facility	7,636,339	7,587,603	7,380,011	22,603,953
ICF/SNF Facility	262,617	312,627	227,311	802,555
TOTAL OUT OF HOME	7,898,956	7,900,230	7,607,322	23,406,508
DAY PROGRAMS				
Day Care	106,243	108,158	58,884	273,285
Day Training	6,206,553	6,037,733	5,845,324	18,089,610
Supported Employment	518,346	513,768	359,020	1,391,134
Work Activity Program				-
SUBTOTAL DAY PROGRAMS	6,831,142	6,659,659	6,263,228	19,754,029
OTHER SERVICES				
Non Medical Services Prof	1,797,214	1,709,634	1,571,643	5,078,491
Non Medical Services Prog	2,050,448	2,037,266	2,456,916	6,544,630
Home Care Services Prog	2,297	16,415	815	19,527
Transportation	663,404	656,001	586,931	1,906,336
Transportation Contracts	746,119	799,791	653,989	2,199,899
Prevention Services	813,332	734,951	250,231	1,798,514
Other Authorized Services	5,542,577	5,572,009	4,765,270	15,879,856
P & I Expense	11,617	11,259	11,259	34,135
Hospital Care				-
Medical Equipment	21,446	9,408	12,731	43,585
Medical Services Prof	280,967	309,422	274,156	864,545
Medical Services Prog	29,368	22,906	24,997	77,271
Respite Care - In Home	5,192,435	5,489,854	2,972,992	13,655,281
Respite Care - Out of Home	53,366	48,946	8,490	110,802
Camps	19,043	820	4,525	24,388
				-
TOTAL OTHER SERVICES	17,223,633	17,418,682	13,594,945	48,237,260
TOTAL PURCHASE OF SERVICES	31,953,731	31,978,571	27,465,495	91,397,797
COMMUNITY PLACEMENT PLAN				
Community Care Facility	-			-
ICF/SNF Facility				-
Day Training				-
Non-Medical Services		1,725		1,725
Non-Medical Services-Programs				-
Transportation				-
Other Authorized Services				-
Other Services				-
Medical Care - Prof				-
				-
TOTAL COMMUNITY PLACEMENT PLAN	-	1,725	-	1,725
TOTAL PURCHASE OF SERVICE	31,953,731	31,980,296	27,465,495	91,399,522
Clients	14,679	14,934	12,192	

Attachment 4

KERN REGIONAL CENTER
 OPERATIONS
 FY 2025/2026
 AS OF SEPTEMBER 30, 2025

	PROPOSED EXPENDITURES	PROPOSED YEAR TO DATE BUDGET	07/31/25	08/31/25	09/30/25	TOTAL	(OVER)/UNDER
OPERATIONS							
Salaries & Benefits	39,563,435	7,608,353	2,291,102	2,862,628	2,871,570	8,025,300	(416,947)
Operating Expenses	10,178,000	1,696,333	1,382,040	763,064	769,731	2,914,835	(1,218,502)
SUBTOTAL OPS	49,741,435	9,304,686	3,673,142	3,625,693	3,641,302	10,940,136	(1,635,450)
COMMUNITY PLACEMENT PLAN							
Salaries & Benefits	-	-	-	-	-	-	-
Operating Expenses	-	-	-	-	-	-	-
SUBTOTAL CPP	-	-	-	-	-	-	-
FOSTER GRANDPARENT PROGRAM							
Salaries & Benefits	17,130	3,294	497	(497)	27	27	3,267
Operating Expenses	35,967	5,995	45	(45)	16	16	5,978
SUBTOTAL FGP	53,098	9,289	541	(541)	43	43	9,245
SENIOR COMMpanion PROGRAM							
Salaries & Benefits	-	-	4,803	4,516	4,614	13,933	(13,933)
Operating Expenses	-	-	4,973	4,523	8,129	17,625	(17,625)
SUBTOTAL SCP	-	-	9,776	9,039	12,743	31,558	(31,558)
TOTAL OPERATIONS	49,794,533	9,313,975	3,683,459	3,634,190	3,654,088	10,971,737	(1,657,762)