

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

604



FROM: Assessor-County Clerk-Recorder / Records Management and Archives Program

SUBMITTAL DATE:
November 27, 2012

SUBJECT: Approval of two Departmental Records Retention Schedules (DRRS).

RECOMMENDED MOTION: That the Board of Supervisors approve the attached Departmental Records Retention Schedules (DRRS) for the Office on Aging and Public Health's Laboratory and direct the Clerk of the Board to amend the list of Board-approved records retention schedules contained in Section D.7 of Board Policy A-43 to include these schedules.

BACKGROUND: In accordance with the provisions of Policy A-43, approved on January 13, 2004, the Records Management and Archives Program (RMAP) worked with the County Executive Office and the offices of Risk Management, Auditor-Controller and County Counsel to review and update the County General Records Retention Schedule and the Departmental Records Retention Schedules attached.

Approval of the attached schedules will authorize the disposal of certain records following minimum retention periods. This will enable the County to eliminate the storage and maintenance of obsolete materials while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Larry W. Ward
Assessor-County Clerk-Recorder

FINANCIAL DATA

Current F.Y. Total Cost:	\$ NA	In Current Year Budget:	NA
Current F.Y. Net County Cost:	\$ NA	Budget Adjustment:	NA
Annual Net County Cost:	\$ NA	For Fiscal Year:	NA

SOURCE OF FUNDS: NA

Positions To Be Deleted Per A-30 ☐

Requires 4/5 Vote ☒

C.E.O. RECOMMENDATION:

APPROVE

BY:

Karen L. Johnson

County Executive Office Signature

MINUTES OF THE BOARD OF SUPERVISORS

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

Ayes: Buster, Tavaglione, Stone, Benoit and Ashley
Nays: None
Absent: None
Date: November 27, 2012
xc: ACR, Office on Aging, Public Health, COB

Kecia Harper-Ihem
Clerk of the Board
By:
Deputy

Prev. Agn. Ref.:

District: ALL

Agenda Number:

ATTACHMENTS FILED
WITH THE CLERK OF THE BOARD

3.2

FORM APPROVED COUNTY COUNSEL
BY:
TAWNY V. LIEU
DATE: 11/13/12

Departmental Concurrence

Dep't Recomm.: ☐ Consent ☒ Policy
Per Exec. Ofc.: ☐ Consent ☒ Policy

**Record Retention Schedules
Listed by Department
November 27, 2012**

NEW SCHEDULES

Office on Aging

Administrative Services and Senior Programs (Attachment A)

Public Health

Laboratory

All sections (Attachment B)

**Record Retention Schedules
Listed by Department
November 27, 2012**

NEW SCHEDULES

Office on Aging

Administrative Services and Senior Programs (Attachment A)

Public Health

Laboratory

All sections (Attachment B)



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_PH-LAB_2012_Rev01)**

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for Public Health - Laboratory (PH-Laboratory) is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by PH-Laboratory before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the County of Riverside, PH-Laboratory will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the PH-Laboratory is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, PH-Laboratory will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

PH-Laboratory will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. PH-Laboratory is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, PH-Laboratory is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

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

CFR = Code of Federal Regulations

CY = Calendar year end

GC = California Government Code

HS = California Health and Safety Code

WSLH = Wisconsin State Laboratory of Hygiene



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Public Health

Schedule Type: Departmental Records Retention Schedule

Division: Laboratory

Schedule #:

Section: All

DRRS_PH-LAB_2012_Rev01

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
PH-LAB100	Analytic Systems Records	Quality control and patient test records (including instrument printouts) and records documenting all analytic systems activities as specified in appropriate statutes and/or regulations.	Lab	CY + 2	42 CFR 493.1105(a)	Shred/Delete
PH-LAB150	Medical Waste Management Tracking Records	Records tracking the disposal of biohazardous waste.	Lab	CY + 3	HS 117943; HS 117975	Shred/Delete
PH-LAB200	Proficiency Testing Records other than for rabies	Evaluation and competency testing records from the College of American Pathologists and American Association of Bioanalysts.	Lab	CY + 2	42 CFR 493.1105(a)	Shred/Delete
PH-LAB250	Proficiency Testing Records - rabies	Evaluation and competency testing records from WSLH Proficiency Testing.	Lab	CY + 10	GC26202; Best Practice	Shred/Delete
PH-LAB300	Quality System Assessment Records	Quality control/assessment documentation (documentation regarding calibration, control procedures, maintenance and function tests, test result comparison activities, workload limit records, alarm system checks, proficiency testing, corrective actions, etc.)	Lab	CY + 2	42 CFR 493.1105(a)	Shred/Delete
PH-LAB350	Test Procedures	Records documenting how each laboratory test is to be performed. Records must include the date the test was initially in use and the date of discontinuance.	Lab	CY + 2	42 CFR 493.1105(a)	Shred/Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
PH-LAB400	Test Reports	Final, preliminary and/or corrected reports not otherwise specified in this schedule.	Requestor	Reporting Date + 2	42 CFR 493.1105(a)	Shred/Delete
PH-LAB450	Test requisitions and authorizations other than for rabies	Records related to the request for and results of laboratory testing. Records series includes request form, which contains information such as patient identification, specimen type, and laboratory test requested, and the results of the test. Records series also includes any necessary authorizations.	Requestor	CY + 2	42 CFR 493.1105(a)	Shred/Delete
PH-LAB500	Test requisitions and authorizations - rabies	Records related to the request for and results of laboratory testing for rabies. Records series includes request form, which contains information such as patient identification, specimen type, and laboratory test requested, and the results of the test. Records series also includes any necessary authorizations.	Requestor	CY + 10	GC26202; Best Practice	Shred/Delete
PH-LAB550	Validations	Records of test system performance specifications that the laboratory established or verifies under 42 CFR 493.1253 for the period of time the laboratory uses the test system.	Lab	CL + 2	42 CFR 493.1105(a)	Shred/Delete



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department /
Agency: Public Health
Division: Laboratory
Section: All

Schedule Type: Departmental Records Retention
Schedule (DRRS)
Schedule #:
DRRS_PH-LAB_2012_Rev01

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head

Susan D. Harrington
Name: Susan Harrington

Director of Public Health
Title

10/1/12
Date

Records Management and Archives Program

Tauna L. Mallis
Name: Tauna Mallis

Assistant Assessor-Clerk-Recorder
Title

10/24/12
Date

County Archives

James O. Hofer
Name: Jim Hofer

Archives Manager
Title

24 Oct 2012
Date

County Auditor-Controller

Frankie Ezzat
Name: Frankie Ezzat

Chief Accountant
Title

11/13/12
Date

Riverside County Information Technology

Sebro/Pattidge
Name: Sebro/Pattidge

Deputy Chief Information Security Officer
Title

10/31/12
Date

County Counsel

Tawny Lieu
Name: Tawny Lieu

Deputy County Counsel
Title

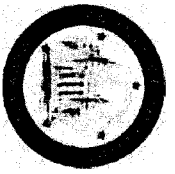
10/31/12
Date

County Risk Management

Jim Sessions
Name: Jim Sessions

Risk Manager
Title

11/13/12
Date



County of Riverside, California Departmental Records Retention Schedule (DRRS_OoA_2012_Rev01)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Office on Aging is adopted as per the recommendations of Board Policy A-43.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by the Office on Aging before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the County of Riverside, the Office on Aging will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the Office on Aging is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Office on Aging will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

The Office on Aging will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. The Office on Aging is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, the Office on Aging is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

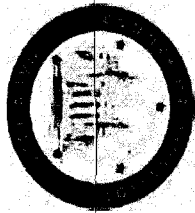
Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

CDA = California Department of Aging

FY = Fiscal year end



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Office on Aging

Schedule Type: Departmental Records Retention Schedule

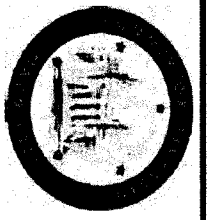
Division: Administrative Services and Senior Programs

Schedule #:

Section: All

DRRS_OoA_2012_Rev01

Code Title		Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
	Agreements -- California Department of Aging (CDA): Title III/IV, Title V, Health Insurance Counseling and Advocacy Program (HICAP), Medicare Improvements for Patients and Providers Act (2MIPPA)	Records related to, and supporting the Agreements with CDA for Title III/IV, Title V, HICAP, 2MIPPA. May include financial records, budgets, supporting documents, and other records pertaining to the use of funds provided.	Office on Aging / Senior Programs	Close of Audit, but not less than CL + 7	48 CFR 4.805; Audit Support	Shred/Delete



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Office on Aging	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	ALL	Schedule #:
Section:	ALL	DRRS_OoA_2012_Rev01

SIGNATURE PAGE

Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and Archives Program (RMAP). With full consideration given to the preservation of the historic records of the County of Riverside, the undersigned hereby certify that the attached retention schedule conforms to the requirements of Board Policy A-43, and to the legal and regulatory requirements and best business practices known at this time.

Department Head

Edward Walsh
Name: Edward Walsh

Director
Title

10/24/12
Date

Records Management and Archives Program

Tauna Mallis
Name: Tauna Mallis

Assistant Assessor-Clerk-Recorder
Title

10/24/12
Date

County Archives

James D. Hofer
Name: Jim Hofer

Archives Manager
Title

24 October 2012
Date

County Auditor-Controller

Frankie Ezzat
Name: Frankie Ezzat

Chief Accountant
Title

11/13/12
Date

Riverside County Information Technology

Sebron Partidge
Name: Sebron Partidge

Deputy Chief Information Security Officer
Title

10/31/12
Date

County Counsel

Tawny Kieu
Name: Tawny Kieu

Deputy County Counsel
Title

10/31/12
Date

County Risk Management

Jim Sessions
Name: Jim Sessions

Risk Manager
Title

11/13/12
Date