

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

428



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

**SUBMITTAL DATE:**  
August 20, 2013

**SUBJECT:** Approval of Departmental Records Retention Schedule (DRRS)

**RECOMMENDED MOTION:** That the Board of Supervisors approve the attached Departmental Records Retention Schedule (DRRS) for the Department of Mental Health 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 this schedule.

**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 the Departmental Records Retention Schedule attached.

Approval of the attached schedule 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

<b>FINANCIAL DATA</b>	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

<b>SOURCE OF FUNDS:</b> NA	<b>Positions To Be Deleted Per A-30</b>	<input type="checkbox"/>
	<b>Requires 4/5 Vote</b>	<input checked="" type="checkbox"/>

**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 Ashley and duly carried by unanimous vote, IT WAS ORDERED that the above matter is approved as recommended.

Ayes: Jeffries, Tavaglione, Stone, Benoit and Ashley  
 Nays: None  
 Absent: None  
 Date: August 20, 2013  
 xc: ACR, Mental Health, EO, COB

Kecia Harper-Ihem  
 Clerk of the Board  
 By:   
 Deputy

**Prev. Agn. Ref.:**

**District:** ALL

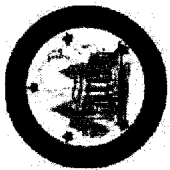
**Agenda Number:**

**3-18**

FORM APPROVED COUNTY COUNSEL  
BY: TAWNY VOIEU  
DATE: 7/29/13

Departmental Concurrence

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



**County of Riverside, California  
Departmental Records Retention Schedule  
(DRRS\_MH\_2013\_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 Mental Health Department 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 Mental Health 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, Mental Health will suspend destruction of the subject records until all issues of the matter are resolved. Further, if Mental Health is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, Mental Health will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

Mental Health will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. Mental Health is responsible for ascertaining the correct date of closure in order to establish this ten (10) year retention period. Furthermore, Mental Health 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.

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## Explanation of Codes

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

**BP** = California Business and Professions Code

**CCP** = California Code of Civil Procedure

**CFR** = Code of Federal Regulations

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

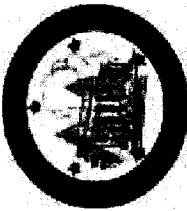
**CY** = Calendar year end

**FY** = Fiscal year end

**GC** = California Government Code

**REV** = Revised

**P** = Permanent



## COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Department of Mental Health  
 Schedule Type: Departmental Records Retention Schedule

Division: ALL  
 Schedule #: **DRRS\_MH\_2013\_REV01**

Section: ALL

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
MH100	Accident or Incident Reports	Records documenting accidents or incidents that occur with a patient or client within a County facility.	Mental Health	CY + 10	GC 26202; Best Practice	Shred / Delete
MH150	Appointment Books	Records indicating the name of the doctor and patient scheduled for a specific date and time.	Mental Health	CY + 2	GC 26202	Shred / Delete
MH200	Attendance Verifications	Records retained by the hosting clinic or program to verify attendance.	Mental Health	CL + 7	GC 26202; Best Practice	Shred / Delete
MH250	Client Files - Adult	Records documenting the history of a client's relationship with the Department. Includes face sheets, patient history, initial interview, progress reports, permission for treatment, contact summary reports, doctor's disposition evaluation, termination sheet, financial and legal, etc. May also include attendance logs, client form, direct service logs, etc.	Mental Health	CL + 7	BP 2919	Shred / Delete
MH300	Client Files - Not Accepted	Referrals, applications, intake records, verifications, forms, notices, agreements, etc.	Mental Health	CL + 4	GC 26202; CCP 337	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
MH350	Client Files - Unemancipated Minors	Records documenting the history of a client's relationship with the Department. Includes face sheets, patient history, initial interview, progress reports, permission for treatment, contact summary reports, doctor's disposition evaluation, termination sheet, financial and legal, etc. May also include attendance logs, client form, direct service logs, etc.	Mental Health	Age 18 + 7	BP 2919	Shred / Delete
MH400	Client Files - Vocational	Records containing client information related to specialized skills testing and training.	Mental Health	CL + 7	GC 26202; Best Practice	Shred / Delete
MH450	Laboratory Results	Records indicating what lab tests were administered, the results of the test(s) and the chain of custody for the sample(s) and report.	Mental Health	CL + 7	BP 1265(J)(2)(A); BP 2919; Best Practice	Shred / Delete
MH500	Logs	Listing of Health and Safety Code 5150 services that may be provided as well as the authorization for services.	Mental Health	REV + 2	GC 26202; Best Practice	Shred / Delete
MH550	Medical Declarations	List of the types of diagnosis that can be used by clinicians when completing client charts or assessments.	Mental Health	REV + 2	GC 26202; Best Practice	Shred / Delete
MH600	Medicare / Medi-Cal Letters	Letters related to Medi-Cal and/or Medicare eligibility that confirm or reinstate certification.	Mental Health	CL + 10	42 CFR 423.505 (e)(3)(4)	Shred / Delete
MH650	Medicine Declarations	Formal list of medications available to be prescribed to clients.	Mental Health	REV + 2	GC 26202; Best Practice	Shred / Delete
MH700	Prescriptions	Pharmaceutical records or receipts of controlled substances dispensed.	Mental Health	CY + 3	BP 4333	Shred / Delete

Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
MH750	Reports and Studies	Records of the analysis of trends and/or performance of the department and/or providers. Records may include statistical reports, cost analysis, long or short range trends, etc.	Mental Health CY + 6	GC 26202; Best Practice	Shred / Delete
MH800	Training Programs	Records related to the implementation of department specific staff training programs.	Mental Health REV + 6	GC 26202; Best Practice	Shred / Delete
MH850	Warehouse Auction	List of client property that has been publically auctioned.	Mental Health FY + 7	GC 26202; Best Practice	Shred / Delete

<b>COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE</b>	
<b>Department / Agency:</b> Mental Health Department	<b>Schedule Type:</b> Departmental Records Retention Schedule (DRRS)
<b>Division:</b> ALL	<b>Schedule #:</b> DRRS_MH_2013_Rev01
<b>Section:</b> ALL	

**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**  
 Name: *Jerry A. Wengert* Director Title  
 Date: 6-27-13 Date

**Records Management and Archives Program**  
 Name: *Tauna Mallis* Assistant Assessor-Clerk-Recorder Title  
 Date: 7-24-13 Date

**County Archives**  
 Name: *Jim Hofer* Archives Manager Title  
 Date: 24 July 2013 Date

**County Auditor-Controller**  
 Name: *Tanya Harris* General Accounting Division Chief Title  
 Date: 7/29/13 Date

**Riverside County Information Technology**  
 Name: *Sebron Partidge* ~~Deputy~~ Chief Information Security Officer Title  
 Date: 7/29/13 Date

**County Counsel**  
 Name: *Tawny Lieu* Deputy County Counsel Title  
 Date: 7/29/13 Date

**County Risk Management**  
 Name: *Jim Sessions* Risk Manager Title  
 Date: 7/30/13 Date