

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



434

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

SUBMITTAL DATE:
August 27, 2014

SUBJECT: Approval of five Departmental Records Retention Schedules All Districts [\$0]

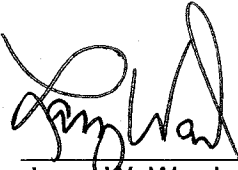
RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached Departmental Records Retention Schedules
2. Direct the Clerk of the Board to amend the list of Board-approved retention schedules contained in Section D.7 of Board Policy A-43 to include these schedules.

BACKGROUND:

Summary

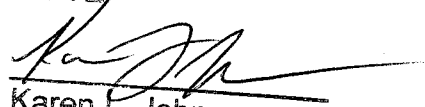
In accordance with the provisions of Board Policy A-43, the Records Management and Archives Program (RMAP) worked with appropriate departments to review the Departmental Records Retention Schedules attached. Approval will authorize the disposal of certain records following mandatory retention requirements, thereby enabling the County to reduce the cost of storage for obsolete materials while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met. Per Government Code 26202, this item requires a 4/5 vote.


 Larry W. Ward
 Assessor-County Clerk-Recorder

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost:	POLICY/CONSENT (per Exec. Office)
COST	\$ NA	\$ NA	\$ NA	\$ NA	Consent <input type="checkbox"/> Policy <input checked="" type="checkbox"/>
NET COUNTY COST	\$ NA	\$ NA	\$ NA	\$ NA	

SOURCE OF FUNDS: NA	Budget Adjustment: No
	For Fiscal Year: NA

C.E.O. RECOMMENDATION: APPROVE


BY: 
Karen E. Johnson

County Executive Office Signature

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Tavaglione, seconded by Supervisor Benoit 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: September 9, 2014
 xc: ACR, All Dept., COB

Kecia Harper-Ihem
 Clerk of the Board
 By: 
 Deputy

Prev. Agn. Ref.: District: ALL Agenda Number:

3-19

FORM APPROVED COUNTY COUNSEL 8/27/14
 BY: GREGORY P. PRAMOS DATE

Departmental Concurrence

- A-30
- Positions Added
- 4/5 Vote
- Change Order

Impact on Citizens and Businesses

Riverside County has established a uniform program of responsible recordkeeping applicable to all County departments in accordance with applicable law. Through the systematic disposition of records and information, the County will

- Save physical (paper) and disk (electronic) space;
- Save money through the better utilization of existing resources (filing equipment, servers, office space, off-site storage costs, etc.);
- Save time and labor by disposing of information that has served its intended and foreseeable purpose making current information easier to retrieve;
- Identify and preserve historical documents identified through the schedule development process.

These measures help to ensure the efficient use of taxpayers' money.

**Record Retention Schedules
Listed by Department
September 9, 2014**

NEW SCHEDULES

Economic Development Agency

Accounting and Finance Section (Attachment A)

Traffic and Land Management Agency

Building and Safety

All sections (Attachment B)

Planning

All sections (Attachment C)

REVISED SCHEDULES

Environmental Health

District Environmental Services

All sections (Attachment D)

Supersedes the DRRS adopted July 12, 2011, Item #3.10

Riverside County Regional Medical Center

All Sections (Attachment E)

Supersedes the DRRS adopted November 5, 2013, Item #3-15



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_EDA-ACF_2014_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 Economic Development Agency, Accounting and Finance Division (EDA-ACF) 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 Accounting and Finance 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, Accounting and Finance will suspend destruction of the subject records until all issues of the matter are resolved. Further, if Accounting and Finance is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, Accounting and Finance will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

CCP = California Code of Civil Procedure

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.

GC = California Government Code

P = Permanent



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Economic Development Agency

Schedule Type: Departmental Records Retention Schedule

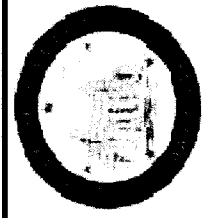
Division: Accounting and Finance

Schedule #:

DRRS_EDA-ACF_2014_Rev01

Section: All

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
EDA-ACF 100	Business Plans	Documents that provide a look ahead for business, allocate resources, focus on key points, and prepare for problems and opportunities, i.e., Excel spreadsheets with calculations and other supporting documents.		Economic Development Agency	P	Best Practice	Shred/Delete
EDA-ACF 200	Capital Fund Review	Supporting documentation for Capital Fund reports.		Economic Development Agency	P	Best Practice	Dept.
EDA-ACF 300	Collection Reports	Parking arrears documentation including parking card applications, card history reports, and correspondence.		Economic Development Agency	CL + 7	GC 26202; Best Practice	Shred/Delete
EDA-ACF 400	Project Costing	Records supporting a division implementing project costing. Records series may include business process documentation, project set-up, requirements documentation and correspondence.		Economic Development Agency	CL + 10	GC 26202; Best Practice	Shred/Delete
EDA-ACF 500	Project File - Financial	Supporting financial documentation for agency projects. Records series may include Excel spreadsheets, invoices, receipts, agreements and correspondence.		Economic Development Agency	CL + 10	GC 26202; CCP 337.15; Audit Support; Best Practice	Shred/Delete



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE


Department / Agency:	Economic Development Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	Accounting and Finance	Schedule #:
Section:	ALL	DRRS_EDA-ACF_2014_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

 Name: Rob Field Title: Assistant County Executive Officer / EDA Date: _____

Records Management and Archives Program

 Name: Bobbi Schutte Title: Assistant Assessor-Clerk-Recorder Date: 8/14/14

County Archives

 Name: Jim Hofst Title: Archives Manager Date: 18 August 2014

County Auditor-Controller

 Name: Tanya Harris Title: Chief Accountant, General Accounting Date: 8/14/14

Riverside County Information Technology

 Name: Sebron Palfidge Title: Chief Information Security Officer Date: 8/19/14

County Counsel (Approval as to form)

 Name: Tawny Lieu Title: Deputy County Counsel Date: 8/20/14

County Risk Management

 Name: Jim Sessions Title: Risk Manager Date: 8/19/14



County of Riverside, California Departmental Records Retention Schedule (DRRS_BNS_2014_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 Building and Safety Department of the Transportation and Land Management Agency (BNS) 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 department 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 overrides 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 department will suspend destruction of the subject records until all issues of the matter are resolved. Further, if the department is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the department will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

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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.

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

HSC = California Health and Safety Code

P = Permanent

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Building and Safety / Transportation and Land Management Agency (TLMA)
 Schedule Type: Departmental Records Retention Schedule

Division: All
 Section: All
 Schedule #:
DRRS_BNS_2014_Rev01


Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
Administration (ADM)					
BNS_ADM100	Business Registration	Records related to the review of business licenses and registrations to ensure legal operator status within Riverside County.	Close of Business + 2	GC 26202	Shred / Delete
BNS_ADM200	Complaints or Requests	Correspondence issued from or received by the department related to an environmental concern or complaint of the public. Records series includes investigative correspondence and documentation of corrective action taken.	CL + 5	GC 26202; Best Practice	Dept.
BNS_ADM300	Damage Assessment Reports	Applied Technology Council (ATC-20) reports and Board of Supervisor's approved Policy E-9; Records may contain detailed evaluation and safety assessment information inclusive of: inspection information, building description, areas damaged, photographs, sketches, building condition description, overall structural, non-structural and geotechnical hazards, posting information, and further actions noted.	Date of Incident + 3	GC 26202; Board of Supervisors Policy E-9; Best Practice	Shred / Delete
BNS_ADM400	Inspection Sheets	Staff inspection records detailing the date, time and location of inspection work. Form references permit number, address and inspection results.	FY + 2	GC 26202	Shred / Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
BNS_ ADM500	Variance Actions - floodplain administration	Records related to implementation of Riverside County ordinance 458 related to the approval of development within designated floodplain areas. Records series includes the application, approval of variance and justification for the action.	TLMA / Building and Safety	P	Riverside County Ordinance 458	Dept.
Commercial Building Plans (CBP)						
BNS_ CBP100	Building Inspection Corrections	Records related to residential building permit corrections.	TLMA / Building and Safety	P	HSC 19850; Best Practice	Dept.
BNS_ CBP200	Building Plans - Commercial	Plans for the construction of commercial structures. Records series may include date of submittal and approval, details of construction, engineer or architect stamp, calculations, correction notices, certificate of occupancy, floor plans, electrical specs, elevation plans, site plan, dates of submittal and approval, details of construction demonstrating compliance with California building codes.	TLMA / Building and Safety	P	HSC 19850; Best Practice	Dept.
BNS_ CBP300	Flood Plain Management Cases - Commercial and Residential	Site plan of property showing location of flood zones and cross-checked against submitted building plans for approval purposes.	TLMA / Building and Safety	CL + 2	GC 26202	Shred / Delete
BNS_ CBP400	Grading Plans	Plans for grading of parcels for commercial purposes. Records may include engineer certifications, pad elevations, notice of intent, plan check corrections, correction notices, response to comments or corrections, memos, site plan, reports, erosion and sediment control plans, grading plans, and water quality management program.	TLMA / Building and Safety	P	HSC 19850; Best Practice	Dept.

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
BNS_CBP500	Grading Restoration Records	Records related to the unpermitted grading of a lot or development. Records may include engineering certifications, grading, erosion, and sediment control plans, corrections, response to comments, soils and compaction reports.	TLMA / Building and Safety	P	HSC 19850; Best Practice	Dept.	
National Pollutant Discharge and Elimination System (NPDES)							
BNS_NPDES 100	Case Files - Environmental Program	Records related to construction approval and/or inspection. Records series may include inspection reports regarding site maintenance to ensure no impacts to water quality, grading, and site stabilization plans and property owner correspondence for review and inspection by NPDES staff.	TLMA / Building and Safety	CL + 5	40 CFR 122.41(j)(2)	Shred / Delete	
BNS_NPDES 200	Complaints regarding Illicit Connection / Illicit Discharge (IC / ID) Cases	Records of complaints related to illicit connection and/or illicit discharge cases. Records series includes correspondence, reports, photographs and supplemental information.	TLMA / Building and Safety	CL + 3	GC 26202; Best Practice	Shred / Delete	
BNS_NPDES 300	Reporting	Construction related annual reports and accompanying data that substantiates information reported such as training forms, monitoring reports, and construction site information.	TLMA / Building and Safety	FY + 2	GC 26202	Shred / Delete	
BNS_NPDES 400	Storm Water Pollution Prevention Plan (SWPPP)	Records related to the plan for preventing the contamination of water.	TLMA / Building and Safety	CL + 2	GC 26202	Shred / Delete	

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Permits (PMT)						
BNS_PMT100	Permits	Records documenting request and authorization for property owners to erect new structures, including signs, or make structural modifications to existing ones. Serves as official authorization for construction including installation of plumbing, electrical and mechanical equipment and other related work.	TLMA / Building and Safety	P	HSC 19850; Best Practice	Dept.
BNS_PMT200	Subdivision Files	Tract applications and permit processing applications that pertain to subdivisions (as opposed to rough grade/mass grade).	TLMA / Building and Safety	CL + 2	GC 26202	Shred / Delete

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE


	Department / Agency: <u>Building and Safety / Transportation and Land Management Agency</u> Division: <u>ALL</u> Section: <u>ALL</u>
	Schedule Type: <u>Departmental Records Retention Schedule (DRRS)</u> Schedule #: <u>DRRS_BNS_2014_Rev01</u>


SIGNATURE PAGE

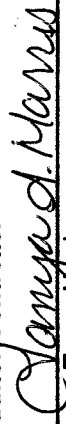
Pursuant to Section D.6 of Board Policy A-43, records retention schedules submitted by RMAP to the County Executive Office for Board approval require prior sign off by the County Archives Manager, Risk Management, County Auditor-Controller, County Counsel, and the Director of the Records Management and 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

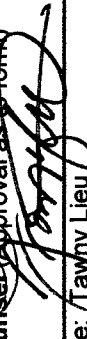
 Name: Juan Perez Agency Director Title
 Date: 8/11/14


Records Management and Archives Program

 Name: Bobbi Schutte Assistant Assessor-Clerk-Recorder Title
 Date: 8/14/14

County Archives

 Name: Jim Hofer Archives Manager Title
 Date: 18 August 2014

County Auditor-Controller

 Name: Tanya Harris Chief Accountant, General Accounting Title
 Date: 8/14/14

Riverside County Information Technology

 Name: Sebbon Partidge Chief Information Security Officer Title
 Date: 8/19/14

County Counsel (Approval as to form)

 Name: Tawny Lieu Deputy County Counsel Title
 Date: 8/20/14

County Risk Management

 Name: Jim Sessions Risk Manager Title
 Date: 8/19/14



County of Riverside, California Departmental Records Retention Schedule (DRRS_PLAN_2014_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."

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PO Box 472
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(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Planning Department of the Transportation and Land Management Agency (PLAN) 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 department 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.

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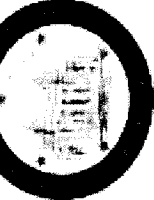
CCP = California Code of Civil Procedure

CY = Calendar year end

GC = California Government Code

P = Permanent

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

		Department / Agency: Planning / Transportation and Land Management Agency Schedule Type: Departmental Records Retention Schedule				
Division: All Section: All		Schedule #: DRRS_PLAN_2014_Rev01				
Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Administration (ADM)						
PLAN_ADM100	Meeting Records - departmental	Records related to departmental meetings pertaining to land development related cases that are not part of a case file.	TLMA / Planning	CY + 2	GC 26202	Shred / Delete
Advanced Planning (ADP)						
PLAN_ADP100	General Plan Amendments - County Initiated	Records related to County initiated amendments to the General Plan including community plans. Records series may include relevant correspondence, research, maps, etc.	TLMA / Planning	P	Best Practice	Dept.
PLAN_ADP200	Special Projects	Records related to ordinance revisions, consistency zoning, housing element and other special projects. Records series may include relevant correspondence, research, maps, etc.	TLMA / Planning	P	Best Practice	Dept.
Current Planning (CRP)						
PLAN_CRP100	Case Files - Agricultural Preserves	Case files related to the application, approval and continued contract regarding agricultural preserves. Records series may include application, approve or deny actions, non-renewal or cancellation actions, etc.	TLMA / Planning	P	Best Practice	Dept.

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title		Description					
PLAN_CRP200	Case Files - Major Cases	Case files related to land development that generally requires a public hearing. Records series may include tract and parcel maps, specific plans, privately initiated General Plan Amendments, changes in zoning, environmental impact reports (EIRs), environmental assessments, surface mining, variances, etc.		TLMA / Planning	P	Best Practice	Dept.
PLAN_CRP300	Case Files - Minor Cases	Case files related to planning that generally involves administrative action without a public hearing. Records series may include certificates of compliance or merger, lot line adjustments, etc.		TLMA / Planning	P	Best Practice	Dept.
PLAN_CRP400	Case Files - Minor Implementing Cases	Records related to minor cases which implement the Conditions of Approval of a Major Parent Case, such as Final Landscaping Plans, Temporary Sales Offices, Model Home Complexes, Tract Map final site plans of development, etc.		TLMA / Planning	CL + 2	GC 26202	Shred / Delete
PLAN_CRP500	Environmental Reports	Records related to environmental actions maintained outside of a case file. Records series may include archaeology, geology or paleontology reports, slope stability reports, etc.		TLMA / Planning	P	Best Practice	Dept.
Environmental Programs (ENV)							
PLAN_ENV100	City Project Files	Department's duplicate copy of records related to environmental reviews conducted by County employees for Riverside County cities as part of their land development projects. Records series may include biological reports and recommended mitigation actions.		TLMA / Planning	Delivery to City + 7	GC 26202; CCP 337; Best Practice	Shred / Delete
PLAN_ENV200	Grading Restoration Records	Records related to the restoration of a site following grading. Records series includes a restoration plan that describes the site and the requirements for restoration of vegetation and/or species.		TLMA / Planning	P	Best Practice	Dept.

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
	Title	Description					
PLAN_ ENV300	Habitat Acquisition Negotiation Strategy (HANS) Records	Records related to biological data from a monitoring program or biological report. Records series may include Expedited Review Process (ERP) documents, Joint Project Report, confirmation report, etc.	TLMA / Planning	P	Best Practice	Dept.	
PLAN_ ENV400	Stand Alone Biological Reports	Records related to biological actions maintained outside of a case file. Records series may include survey data results, habitat maps, general reports, etc.	TLMA / Planning	CY + 5	GC 26202; Best Practice	Dept.	

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE	
Department / Agency: Planning / Transportation and Land Management Agency	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division: ALL	Schedule #: DRRS_PLAN_2014_Rev01
Section: 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.

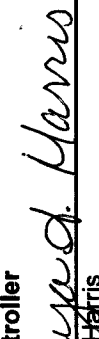
Department Head


 Name: Juan Perez
 Title: Agency Director
 Date: 8/11/14

Records Management and Archives Program

 Name: Bobbi Schutte
 Title: Assistant Assessor-Clerk-Recorder
 Date: 8/14/14


County Archives

 Name: Jim Hofer
 Title: Archives Manager
 Date: 18 August 2014

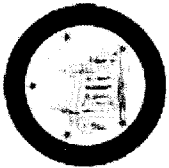
County Auditor-Controller

 Name: Tanya Harris
 Title: Chief Accountant, General Accounting
 Date: 8/14/14

Riverside County Information Technology

 Name: Sebron Partridge
 Title: Chief Information Security Officer
 Date: 8/19/14

County Counsel (Approval as to form)

 Name: Fawny Lieu
 Title: Deputy County Counsel
 Date: 8/20/14

County Risk Management

 Name: Jim Sessions
 Title: Risk Manager
 Date: 8/19/14



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_EH-DES_2014_Rev03)**

Attachment D

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 Environmental Health – District Environmental Services [EH-DES] is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted July 12, 2011 as agenda item # 3.10.

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 EH-DES 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, EH-DES will suspend destruction of the subject records until all issues of the matter are resolved. Further, if EH-DES is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, EH-DES will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

CCP = California Code of Civil Procedure

CCR = California Code of 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

GC = California Government Code

HSC = California Health and Safety Code

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Environmental Health

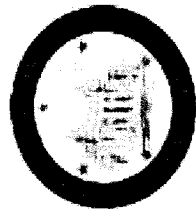
Schedule Type: Departmental Records Retention Schedule

Division: District Environmental Services

Schedule #:

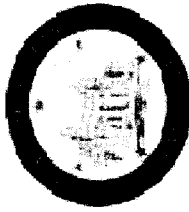
DRRS_EH-DES_2014_Rev03

Section: ALL



Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title Description				
EH-DES100	Facilities Plan Check The following reports are used by staff to monitor progress on facility construction: application, utilities letters, plan correction sheet, air balance reports, construction inspection, report, rejection notice, floor plan, exhaust hood plan, and plan check specification sheet.	DES Program Offices	Life of Structure + 10	GC 26202; 22 CCR 65507; CCP 337.15; Best Practice	Shred/Delete
EH-DES150	Food and Pool Field Cards Operational statistics (Date of inspections and type of inspection). Area inspections generate and maintain their district field cards.	DES Program Offices	CL + 3	GC 26202; 22 CCR 65507; Best Practice	Shred/Delete
EH-DES200	Food Workers Test Records Food Handlers Test results (Results of type of Test [A, B or C]). Date and Location of Food Facility where the client will be working.	DES Program Offices	CY + 3	HSC 113948	Shred/Delete
EH-DES250	Inspection Reports Food, pool, spa, organized camps, poultry ranch, mobile home park operational reports. Initial reports describing the type of business and general description.	DES Program Offices	CL + 3	GC 26202; 22 CCR 65507; Best Practice	Shred/Delete
EH-DES255	Inspection Reports - Retail Tobacco Retail Tobacco operational reports. Initial reports describing type of business and general description.	DES Program Offices	CL + 5	GC 26202; CCP 343; Best Practice	Shred/Delete

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
EH-DES300	Non-permitted pool/food facilities	Inspection and complaint reports are used by EH staff to monitor any facility that did not require a facility number but did open for operation for a limited time.	DES Program Offices	5 years from date of application - departmental copy	GC 26202; Best Practice	Shred/Delete
EH-DES350	On-Site Inspections - Mobilehome Park, Organized Camp, Poultry Ranch Food, Pool Facilities File	The following forms are used for on-site inspections of new or remodeled facilities: on-site evaluation report, inspection report, complaint report, food facility, stormwater compliance survey, change of status, vending machine inspection report, mobilehome/special occupancy park inspection report, official sample receipt, voluntary condemnation receipt, notice of violation, general correspondence, lien information, request for records, suspension/revocation report, hearing report, citation, foodborne complaint form, inspection reports, unpackaged food vehicle plan evaluation form.	DES Program Offices	5 years from the date of application - departmental copy	GC 26202; Best Practice	Shred/Delete
EH-DES400	Trash, Sewage and Vector files	Complaint form, general correspondence and pesticide usage forms for Environmental Health Specialist staff to monitor complaints.	DES Program Offices	CL + 3	GC 26202; 14 CCR 17414	Shred/Delete

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE	
	Department / Agency: Environmental Health
	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division: District Environmental Services	Schedule #: DRRS_EH-DES_2014_Rev04
Section: 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.

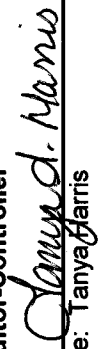
Department Head


 Name: Stephen Van Stockum Director
 Title: Director
 Date: 8/10/14


Records Management and Archives Program

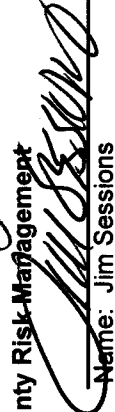
 Name: Bobbi Schutte Assistant Assessor-Clerk-Recorder
 Title: Assistant Assessor-Clerk-Recorder
 Date: 8/14/14

County Archives

 Name: Jim Hofer Archives Manager
 Title: Archives Manager
 Date: 18 August 2014

County Auditor-Controller

 Name: Tanya Harris Chief Accountant, General Accounting
 Title: Chief Accountant, General Accounting
 Date: 8/14/14

Riverside County Information Technology

 Name: Sebron Partridge Chief Information Security Officer
 Title: Chief Information Security Officer
 Date: 8/19/14

County Counsel (Approval as to form)

 Name: Tawny Leu Deputy County Counsel
 Title: Deputy County Counsel
 Date: 8/20/14

County Risk Management

 Name: Jim Sessions Risk Manager
 Title: Risk Manager
 Date: 8/19/14



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_RCRMC_2014_Rev02)**

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 Riverside County Regional Medical Center (RCRMC) 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 RCRMC 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, RCRMC will suspend destruction of the subject records until all issues of the matter are resolved. Further, if RCRMC is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, RCRMC will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

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

BP = California Business Code

CCR = California Code of Regulations

CFR = Code of Federal Regulations

CHA = California Hospital Association

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

PROB = California Probate Code

REV = Revised

P = Permanent

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Riverside County Regional Medical Center

Schedule Type: Departmental Records Retention Schedule

Division: All

Schedule #:

DRRS_RCRMC_2014_Rev02

Section: All

Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description			
Administration (ADM)					
RCRMC-ADM100	Accreditation	Records related to the accreditation process and subsequent improvements to policies and procedures. Records series may include surveys and findings.	Until re-accreditation is achieved + 5	GC 26202; Best Practice	Shred/Delete
RCRMC-ADM125	Adverse Event Reports	Reports provided to the California Department of Public Health detailing negative impact events.	CL + 5	CCP 340.5; 22 CCR 70733(a)(8); GC 26202	Shred/Delete
RCRMC-ADM150	Annual Reviews	Records related to the annual review of safety plans such as transmissible diseases and biosafety plans.	CY + 6	GC 26202; 8 CCR 5199(j)(3)(A); Best Practice	Shred/Delete
RCRMC-ADM200	Census (daily)	Patient admission rosters and other records related to the daily population of the facility.	CL + 5	CCP 340.5; 22 CCR 70733(a)(7); GC 26202	Shred/Delete
RCRMC-ADM225	Committee minutes	Minutes of committee meetings that are not subject to the Brown Act.	CL + 5	22 CCR 70733(a)(4); GC 26202	Shred/Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
RRCMC-ADM250	Communicable Disease Reports	Reports of communicable diseases that are provided to state and local health agencies.	RRCMC	CY + 3	GC 26202	Shred/Delete	
RRCMC-ADM260	Complaints and Grievances	Records related to the receipt and resolution of complaints or grievances including those received through surveys. Records series may include investigation materials and correspondence.	RRCMC	CL + 5	22 CCR 53858(h); 21 CFR 900.12(h)(2); CCP340.5	Shred/Delete	
RRCMC-ADM275	Donations, endowments, trusts, bequests, contributions	Records of support received by the hospital in addition to County allocated funds.	RRCMC	CL + 7 unless longer per terms of agreement	GC 26202; Best Practice	Shred/Delete	
RRCMC-ADM300	HIPAA Records	Records related to compliance with the Health Insurance Portability and Accessibility Act. Records series may include notice of privacy practices, acknowledgement of receipt, correspondence, forms and HIPAA related policies and procedures.	RRCMC	CL + 6	45 CFR 164.530(j)(2)	Shred/Delete	
RRCMC-ADM325	Incident Reports	Reports of accidents or incidents involving patients or other non-staff while on hospital grounds or in hospital facilities.	RRCMC	CL + 10	CCP 340.5; GC 26202	Shred/Delete	
RRCMC-ADM350	Inspection Records	Records of inspection, either by internal or external entities, and approval of facilities, pharmacies, systems and processes. Records series may include recommendations received and the actions taken to comply with the recommendations.	RRCMC	CY + 6	42 CFR 482.41(b)(8); GC 26202; Best Practice	Shred/Delete	
RRCMC-ADM375	Licenses or certificates	Records of application and receipt of licenses or certificates.	RRCMC	Expiration of License or Certificate + 5	GC 26202	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
RRCMC-ADM400	List of Contracted Services	Records indicating the type and nature of contracted services utilized by the hospital.	RRCMC	CL + 6	GC 26202; 42 CFR 482.12 (e)(2); Best Practice	Shred/Delete	
RRCMC-ADM450	Office of Statewide Health Planning and Development (OSHDP) Reports - Patient data	Records related to a patients overall stay with the hospital including financial and discharge data and quality of care information.	RRCMC	CY + 20	GC 26202; Best Practice	Shred/Delete	
RRCMC-ADM500	Patient Index / Medical Record Index number	Index cross-referencing patient information with the medical record number.	RRCMC	CL + 2	GC 26202	Shred/Delete	
RRCMC-ADM525	Patient Property	Records related to the collection, inventory of personal property, cash and valuables. Records series may include inventory sheets, receipts and disbursements of personal funds held in trust.	RRCMC	Delivery of Property + 3	GC 26202; PROB 330(d); Best Practice	Shred/Delete	
RRCMC-ADM550	Permits	Records of the application and receipt of permits.	RRCMC	Expiration + 5	GC 26202	Shred/Delete	
RRCMC-ADM575	Policies and Procedures - manuals	Records of policies and procedures implemented by the hospital or related facilities with the exception of those related to pediatrics or otherwise the treatment of minors.	RRCMC	REV +10	GC 26202; 22 CCR 70733(a)(10) and (11); Joint Commission Standard 03.02.01, EP5 & 6	Shred/Delete	

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
RCRM-ADM575	Policies and Procedures - manuals: Pediatrics		Records of polices and procedures relevant to the treatment of minors implemented by the hospital or related facilities.		RCRM	REV +25	GC 26202; 22 CCR 70733(a)(10) and (11); Joint Commission Standard 03.02.01, EP5 & 6; Best Practice	Shred/Delete
RCRM-ADM600	Reports and Statistics		Reports and statistical data maintained to establish trends or assist with business planning. Records series may include correspondence, admission/discharge numbers, services rendered, transfers, etc.		RCRM	CY + 10	GC 26202	Shred/Delete
RCRM-ADM625	Summary Records - Airborne Infection		Summary records of decisions not to transfer a patient to another facility for airborne infection isolation for medical reasons. Records series may also include explanations regarding the unavailability of isolation rooms/areas.		RCRM	CY + 3	GC 26202; 8 CCR 5199(j)(3)(E)	Shred/Delete
RCRM-ADM650	Treatment Authorization Requests		Records providing source documents for Medi-Cal electronic claims submissions.		RCRM	FY + 7	GC 26202; 22 CCR 51502.1(f)(2) and 51476; Best Practice	Shred/Delete
RCRM-ADM675	Unusual Occurrence Reports		Reports made to California Department of Public Health and/or the Public Health Officer detailing the facts surrounding an unusual occurrence.		RCRM	CY + 5	22 CCR 70733(a)(8); CCP 340.5	Shred/Delete
Admitting (ADT)								
RCRM-ADT100	Admission and Discharge Records		Patient admission roster.		RCRM	CL + 5	GC 26202; CCP 340.5	Shred/Delete

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
RCRMC-ADT200	Emergency Department Logs	Records constituting a central log on each individual who comes to the emergency department seeking assistance regardless of whether or not treatment was received.	RCRMC	CL + 6	GC 26202; 42 CFR 489.20 (r)(1)(3); Best Practice	Shred/Delete
RCRMC-ADT300	Medicare Secondary Payer Questionnaire	Completed questionnaire required by Medicare.	RCRMC	CY + 10	GC 26202; Medicare Secondary Payer Manual § 20.2.2 (page 25)	Shred/Delete
Business and Finance (BUS)						
RCRMC-BUS100	Medicare Advantage Records	Records related to the administration of the Medicare Advantage Program.	RCRMC	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2) (ii)	Shred/Delete
RCRMC-BUS200	Medicare Part D Records	Records related to the prescription drug benefit of Medicare.	RCRMC	Close of Contract or Last Audit + 10, whichever is later	42 CFR 423.505(i)(2) (ii)	Shred/Delete
Department (DEP)						
RCRMC-DEP100	Appointment Calendars	Records documenting the date and time allotted for appointments of each patient or group of patients and the time actually spent with them.	RCRMC	CY + 3	GC 26202; CCP340.5	Shred/Delete
RCRMC-DEP200	Compliance Audits or Investigations (Internal)	Records of audits or investigations of compliance. Records series includes compliance hotline log.	RCRMC	CL + 6	CCP 340.5; GC 26202; Best Practice	Shred/Delete

Record Series		Code	Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
RRCMC-DEP300	Emergency Medical Treatment and Active Labor Act (EMTALA) Records		Records related to Medicare and the transfer of individuals to and from the hospital.	RRCMC	CL + 5	42 CFR 489.20 (f)(1)	Shred/Delete	
RRCMC-DEP350	Human Tissue Transplant Records		Records related to the collection and transplantation of human tissue. Records series may include donor screening and testing, supplier, donor and lot identifications, receipt, name of recipient, storage conditions, distribution, destruction/disposition of tissue, etc.	RRCMC	Transplant, Distribution or Expiration of Tissue, whichever is later, + 10	21 CFR 1270.33(h)	Shred/Delete	
RRCMC-DEP400	Infection Control Records		Records related to steps taken to mitigate the spread of infections and communicable diseases. Records series may include decision making reports and control logs.	RRCMC	CY + 5	8 CCR 5199(j)(3)(F); 22 CCR 70733(a)(12) and (13)	Shred/Delete	
RRCMC-DEP450	Labor Room Records		Records related to all labor room activities.	RRCMC	CY + 6	GC 26202; CCP 340.5; Best Practice	Shred/Delete	
RRCMC-DEP500	Medical Transportation Records		Records related to the transport of patients. Records series may include date/time/location of service, odometer readings, vehicle ID, operator name, patient information, etc.	RRCMC	CY + 5	42 CFR 489.20 (f)(1); 22 CCR 51502.1(f)(2) and 51476(e)	Shred/Delete	
RRCMC-DEP550	Psychiatric Reports - Adult		Records related to psychiatric reports sent to the Mental Health Department. Records series may include patient's rights denials, ECT and psychosurgery reports.	RRCMC	Last Date of visit + 7	BP 2919	Shred/Delete	
RRCMC-DEP555	Psychiatric Reports - Minor		Records related to psychiatric reports sent to the Mental Health Department. Records series may include patient's rights denials, ECT and psychosurgery reports.	RRCMC	Age 18 + 7	BP 2919	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
RRCM-DEP600	Surgical Privileges List	Roster of practitioners that specifies the privileges of each. NOTE: Each physician's surgical privileges should also be maintained within his/her medical staff file.	RRCMC	CL + 5	42 CFR 482.51(a)(4); GC 26202; CCP 340.5	Shred/Delete	
RRCM-DEP650	Surgery Records	Records showing register of operations performed and operating room logs.	RRCMC	CY + 10	GC 26202; 22 CCR 70223(f); CCP 340.5; Best Practice	Shred/Delete	
Dietary Department (DIT)							
RRCM-DIT100	Bacteriological testing of ice	Records documenting the methodology and results of testing for bacteria in ice.	RRCMC	CY + 2	GC 26202	Shred/Delete	
RRCM-DIT200	Meal Counts	Records documenting the number of meals provided in a given period of time.	RRCMC	CY + 2	GC 26202	Shred/Delete	
RRCM-DIT300	Menus	Record of the menu as served including documentation of variations from the meal planned.	RRCMC	Discontinued + 90 days	22 CCR 70273(g)(5); Best Practice	Shred/Delete	
RRCM-DIT400	Recipes	Recipes, including ingredients, portion size, nutritional analysis, etc.	RRCMC	Patient Discharge	22 CCR 70273(i)(3)	Place in patient medical file	
Housekeeping / Environmental Services (HES)							
RRCM-HES100	Cleaning Records	Records showing the cleaning schedule and associated tasks for rooms, equipment and work surfaces, etc.	RRCMC	CY + 2	GC 26202	Shred/Delete	
RRCM-HES200	Hazardous Waste Records	Records related to the testing, analysis and transport of non-medical hazardous waste. Records series includes reports, test results, and manifests.	RRCMC	Disposition + 3	22 CCR 66262.40	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
Human Resources (HR)							
RRCMC-HR100	Respirator Fit Testing	Records related to the fit testing of respirators on employees. Records series may include documentation of any exceptions.	RRCMC	CY + 3 or next fit test, whichever is later	8 CCR 5144(m)(2)(B)	Shred/Delete	
RRCMC-HR200	Sharps Injury Log	Record of injury sustained while using sharps.	RRCMC	CY + 5	8 CCR 5193(h)(3)	Shred/Delete	
RRCMC-HR300	Training Records - Employees	Records documenting any job related training provided to employees. Records series may include attendance lists, instructors names and qualifications, dates/times and curricula.	RRCMC	T + 3	GC 26202; 8 CCR 5199(j)(2)(A) (4) and (j)(2)(B); Best Practice	Shred/Delete	
RRCMC-HR400	Vaccine Availability	Records documenting the availability, or not, of vaccines for employees exposed to transmittable diseases.	RRCMC	CY + 3	8 CCR 5199(j)(3)(C)	Shred/Delete	
Imaging/Radiology (IMR)							
RRCMC-IMR100	CDPH Reports of Unplanned Contamination Events	Reports of unplanned contamination events submitted to the California Department of Public Health. Records series may include reports of equipment failure, events requiring medical treatment, fire or exposure to radioactive materials.	RRCMC	Expiration of License + 3	GC 26202; 17 CCR 30293(b); Best Practice	Shred/Delete	
RRCMC-IMR150	Dosage and Radioactive Effluence	Records related to radioactive release including surveys, sampling bioassays, measurements, etc.	RRCMC	Expiration of License + 3	17 CCR 30275(f); 10 CFR 20.2103(a) and (b)	Shred/Delete	
RRCMC-IMR200	Dose to Patient	Records indicating the dose of radioactive elements used on a patient.	RRCMC	Expiration of License + 2	GC 26202; 10 CFR 20.2107(b)	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
RCRMC-IMR250	Mammography Records - Quality Control	Records concerning mammography technique and procedures, quality control (including monitoring data, problems detected, corrective actions and their effectiveness), safety precautions and protection. Records series may include various log sheets for tests performed to ensure appropriate quality controls are in place.	RCRMC	Inspection + 3	17 CCR 30319.20; 21 CFR 900.12(d)(2)	Shred/Delete	
RCRMC-IMR300	Mammography Records - Testing	Records related to various film tests including processor film strips, fixer retention tests, darkroom tests, etc.	RCRMC	Inspection + 3	17 CCR 30319.20; 21 CFR 900.12(d)(2)	Shred/Delete	
RCRNC-IMR310	Mammograms and Reports	Records related to the performance and reporting of mammograms.	RCRMC	Last date of visit + 10	21 CFR 900.12(c)(4)	Shred/Delete	
RCRMC-IMR400	NRC Form 4 - prior occupational dose	Nuclear Regulatory Commission Form 4: Cumulative Occupations Dose History. Record of exposure per employee.	RCRMC	Expiration of License + 3	10 CFR 20.2104(f)	Shred/Delete	
RCRMC-IMR450	NRC Form 5 - occupations monitoring	Nuclear Regulatory Commission Form 5: Occupational Dose Record for a Monitoring Period. Record of exposure per employee for a given period of time. Note: a copy of this record must also be filed in the employee's health (medical) record.	RCRMC	Expiration of License + 3	10 CFR 20.2106(f); Best Practice	Shred/Delete	
RCRMC-IMR500	Planned Special Exposure	Records documenting the exceptional circumstances requiring the use of a planned special exposure. Records series includes the name of the official who authorized procedure, what actions were taken and why each action was necessary.	RCRMC	Expiration of License + 3	10 CFR 20.2105(b); Best Practice	Shred/Delete	
RCRMC-IMR550	Radiation Protection Program	Records related to the radiation protection program including the provisions of the program and any audits and other reviews of the programs content and implementation.	RCRMC	Expiration of License + 3	10 CFR 20.2102(b)	Shred/Delete	

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
RCRM-IMR600	Radiation Source Records - disposal	Records related to the disposal of licensed materials including by burial in soil.	RCRM	Expiration of License + 3	10 CFR 20.2108(b); 17 CFR 30293(a); Best Practice	Shred/Delete
RCRM-IMR650	Radiation source Records - receipt and transfer	Records showing the receipt and transfer of each source of radiation which is subject to license or registration.	RCRM	Date of Transfer + 3	17 CFR 30293(a)(1)	Shred/Delete
RCRM-IMR700	Radioisotope Records	Records of receipt, transfer, use, storage, delivery, disposal and reports of overexposure.	RCRM	Expiration of License + 3	10 CFR 30.51; 10 CFR 20.2105(b); Best Practice	Shred/Delete
Laboratory (LAB)						
RCRM-LAB100	Analytic System Records	Records related to quality control procedures and patient test records. Records series may include test results for system performance verified under 42 CFR 493.1253.	RCRM	Life of equipment or CY + 3, whichever is longer	BP 1265(j)(2); 42 CFR 493.1105(a) (3)	Shred/Delete
RCRM-LAB150	Cytology Lab Records	Records maintained to document control procedures and workloads per employee as specified in 42 CFR 493.1274 et seq.	RCRM	CY + 3	BP 1265(j)(2)	Shred/Delete
RCRM-LAB175	Cytology Reports and Confirmations	Records of cytology reports as well as histologic or clinical confirmations of findings.	RCRM	CY + 10	17 CFR 1050(f)(1)(E); (g)(3)	Shred/Delete

Record Series		Title	Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code							
RCRMC-LAB200	Immunohematology and Transfusion Records	Records related to the collection, processing, compatibility testing, storage and distribution of blood units.	RCRMC	CY + 10 or Expiration of product + 6 months, whichever is later.	21 CFR 606.160(d)	Shred/Delete	
RCRMC-LAB210	Immunohematology and Transfusion Records - no expiration	Records related to the collection, processing, compatibility testing, storage and distribution of blood units.	RCRMC	P	21 CFR 606.160(d)	Dept.	
RCRMC-LAB250	Pathology Test Reports	Records of pathology test reports.	RCRMC	CY + 10	42 CFR 493.1105(a)(6)(ii)	Shred/Delete	
RCRMC-LAB300	Patient Specimen Testing Records	Records related to specimen testing including personnel performing the test and instrument printouts.	RCRMC	CY + 3	BP 1265(j)(2)	Shred/Delete	
RCRMC-LAB350	Quality Control Records	Records related to the calibration, control procedures, maintenance and function tests, test result comparison activities, workload limit records, alarm system checks, proficiency testing, corrective actions, etc.	RCRMC	CY + 3	BP 1265(j)(2); 42 CFR 493.1105(a)(3)(i)	Shred/Delete	
RCRMC-LAB400	Registers of Tests	Records of tests performed and maintained within log books (chronological) or accession logs.	RCRMC	CY + 3	BP 1265(j)(2); 42 CFR 493.1105(a)(b)	Shred/Delete	
RCRMC-LAB450	Test Procedures	Records of testing procedures in use. Records series must include the date of initial use and the date the procedure was discontinued.	RCRMC	Discontinued + 3	BP 1265(j)(2); 42 CFR 493.1105(a)(2)	Shred/Delete	
RCRMC-LAB500	Test Requisitions	Records documenting the request for certain tests to be performed.	RCRMC	CY + 3	BP 1265(j)(2); 42 CFR 493.1105(a)(1)	Shred/Delete	

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
Medical Records (MED)							
RRCMC-MED100	Anatomical Gifts	Records related to anatomical gifts.	RRCMC	CY + 2	GC 26202	Shred/Delete	
RRCMC-MED200	Medical Records	Patient medical records, including admission records, consent forms, laboratory notes, medication profile, nurses' notes, pathologist's reports, patient identification information, physical examinations, physicians' orders, prescriptions, surgical records, vital signs sheets, imaging, x-rays and studies, etc.	RRCMC	Date of last visit + 7 or Age 18 + 1, whichever is longer	22 CCR 70751(c)	Shred/Delete	
RRCMC-MED310	Medical Records - Detention Facilities	Patient medical records, including admission records, consent forms, laboratory notes, medication profile, nurses' notes, pathologist's reports, patient identification information, physical examinations, physicians' orders, prescriptions, surgical records, vital signs sheets, imaging, x-rays and studies, etc.	RRCMC	Age 18 + 7 or Release of Inmate + 10, whichever is longer	GC 26202; 22 CCR 70751(c); Best Practice	Shred/Delete	
RRCMC-MED400	Medical Records - Sexual Assault Response Team (SART)	Patient medical records, including admission records, consent forms, laboratory notes, medication profile, nurses' notes, pathologist's reports, patient identification information, physical examinations, physicians' orders, prescriptions, surgical records, vital signs sheets, imaging, x-rays and studies, etc.	RRCMC	P	Best Practice	Dept.	
Medical Staff Records (MES)							
RRCMC-MES100	Bylaws, rules and regulations	Records documenting the bylaws, rules and regulations of the medical staff.	RRCMC	REV + 3	GC 26202; CCP 340.5; 22 CCR 70733(a)(3)	Shred/Delete	
RRCMC-MES150	Call Schedules	Records listing physicians who available to provide treatment necessary after the initial examination to stabilize individuals is complete.	RRCMC	REV + 2	42 CFR 489.20 (f)(2); GC 26202	Shred/Delete	

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
RCRMC-MES200	Continuing Medical Education Records	Records related to the development of medical training. Records series may include committee minutes, evaluation summaries, needs assessment data, activity files, etc.	RCRM	Until re-accreditation is achieved + 2	GC 26202; Best Practice	Shred/Delete
RCRMC-MES250	Continuing Medical Training Records	Records related to the continued training and education of the medical staff. Records series may include attendance lists, credits earned/claimed, etc.	RCRM	T + 3	22 CCR 70725	Shred/Delete
RCRMC-MES300	Medical and/or Professional Staff Meeting Minutes	Minutes of committee or other medical or professional staff meetings. Records series may include reports or other attachments presented during the meeting.	RCRM	CY + 2	GC 26202; 22 CCR 70733(a)(4)	Shred/Delete
RCRMC-MES350	Medical Staff Records	Records related to medical staff, including non-employees, documenting their qualifications and history with the hospital. Records series may include credentialing files, applications (accepted and rejected), complaints, etc.	RCRM	T + 75	GC 26202; 22 CCR 70733(a)(9); Best Practice	Shred/Delete
RCRMC-MES400	Peer Review Records	Records produced by peers that evaluate the performance of other medical staff.	RCRM	T + 3	GC 26202; CCP 340.5; Best Practice	Shred/Delete
RCRMC-MES450	Quality Assurance Records	Records related to the quality of care provided by medical staff. Records series may include copies of incident reports, root-cause analysis, etc.	RCRM	CY + 6	GC 26202; Best Practice	Shred/Delete
RCRMC-MES500	Resident Rotation Schedules	Records documenting the schedules of medical residents. Records series may include location, nature of assignment, vacation, leave of absence, sick time, orientation time, classroom time, etc.	RCRM	T + 3	22 CCR 70725	Shred/Delete

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Nuclear Medicine Records (NME)						
RCRM-NME100	Interpretation, Consultation and Procedures Reports	Records documenting the interpretation of results, the consultation provided to the patient and the procedures followed during the process.	RCRM	CY + 5	42 CFR 482.53(d)(1)	Shred/Delete
RCRM-NME200	Radiation Dose Records - Adult	Records indicating the dose of radioactive elements used on a patient.	RCRM	Last dose + 10	CCP 340.5; 22 CCR 70751(c); Best Practice	Shred/Delete
RCRM-NME210	Radiation Dose Records - Minor	Records indicating the dose of radioactive elements used on a patient.	RCRM	Last dose + 25	CCP 340.5; 22 CCR 70751(c); Best Practice	Shred/Delete
RCRM-NME300	Receipt and Disposition of Radiopharmaceuticals	Records documenting receipt and disposal of radiopharmaceuticals.	RCRM	Disposal or Transfer + 3	42 CFR 482.53(d)(3); 22 CCR 66262.40	Shred/Delete
RCRM-NME400	Reports of Overexposure	Records documenting an instance of overexposure to radiation.	RCRM	CY + 50	CCP 340.5; 22 CCR 70751(c); Best Practice	Shred/Delete
RCRM-NME500	Utilization Records	Records documenting how radiopharmaceuticals are used by the hospital.	RCRM	CY + 2	GC 26202	Shred/Delete
Nursing Records (NUR)						
RCRM-NUR110	Charge Nurse Packets	Records documenting staffing ratios and nurse activities for each day. Records series may include copy of department census, staffing records, charge nurse activity report, patient admission records and staffing activities.	RCRM	CY + 7	GC 26202; Best Practice	Shred/Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
RCRMC-NUR200	Staffing Plan - Adults	Records related to the staffing plan for each patient care unit and the methodology used to develop it. Records series may include patient care requirements, staffing levels for registered nurses, and other licensed and unlicensed personnel.	RCRMC	Last Date of Visit + 7 or for the period of time between licensing surveys, whichever is longer	GC 26202; 22 CCR 70217(d)(1)	Shred/Delete	
RCRMC-NUR250	Staffing Plan - Minors	Records related to the staffing plan for each patient care unit and the methodology used to develop it. Records series may include patient care requirements, staffing levels for registered nurses, and other licensed and unlicensed personnel.	RCRMC	When the subject of the record reaches age 25 or for the period of time between licensing surveys, whichever is longer	GC 26202; 22 CCR 70217(d)(1)	Shred/Delete	
Pharmacy Records (PHR)							
RCRMC-PHR100	Alcohol Records	Records regarding the receipt, shipment, use, etc. of alcohol for medicinal, mechanical (analysis or test) or scientific purposes.	RCRMC	CY + 6	27 CFR 22.164(a)	Shred/Delete	
RCRMC-PHR150	Automated Delivery Device Policy and Procedure	Records documenting the policies and procedures relative to automated delivery device.	RCRMC	Last Use + 3	16 CCR 1713(f)	Shred/Delete	
RCRMC-PHR200	Compounding Records - products used	Records related to the chemicals and products used for compounding including records of acquisition, storage and disposition.	RCRMC	CY + 3	16 CCR 1735.3(d)	Shred/Delete	

Code	Title	Record Series Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
RRCMC-PHR250	Compounded Drug Records	Records related to the compounding of drugs. Records series may include the master formula, date, personnel who compounded, pharmacists reviewing final product, quantity of each component, quantity compounded, etc.	RRCMC	CY + 3	16 CCR 1735.3(d)	Shred/Delete
RRCMC-PHR300	Controlled Substance Records	Records related to the inventory and dispensing of controlled substances. Records series may include inventory by registered location, kind and quantity of substances dispensed or administered, date of dispensing, names, addresses, etc.	RRCMC	CY + 6	GC 26202; 21 CFR 1304.11(c) and 1304.21(a); Best Practice	Shred/Delete
RRCMC-PHR350	Dialysis Drugs and Devices for Home Use	Records related to the drugs and devices used by home dialysis patients. Records series may include prescriptions, invoices, quantities, manufacturer information, lot numbers, date and pharmacists.	RRCMC	CY + 3	16 CCR 1787(c) and 1790	Shred/Delete
RRCMC-PHR400	Drugs Provided to Ambulance or EMS provider	Records related to the delivery of drugs to pre-hospital treatment providers.	RRCMC	CY + 3	BP 4119(b)(5)	Shred/Delete
RRCMC-PHR450	Epinephrine Auto-injector Records	Records related to epinephrine auto-injectors furnished to school districts, county offices of education, etc. Records series may include acquisition and disposition records.	RRCMC	CY + 3	BP 4119.2(b)	Shred/Delete
RRCMC-PHR500	Inspection Reports by Pharmacists	Records of monthly inspections conducted by hospital pharmacists of emergency drug supplies, particularly within the Nursing units.	RRCMC	CY + 3	22 CCR 70263(f)(3)	Shred/Delete
RRCMC-PHR550	Logs of Drugs Destruction	Records of destruction of discontinued individual patient's drugs not supplied by the hospital but that remain at the hospital after the patient is discharged.	RRCMC	CY + 3	GC 26202; 22 CCR 70263(q)(11) (A)	Shred/Delete
RRCMC-PHR600	Order Form - Drug Enforcement Agency (DEA) 222	Record copies of the Drug Enforcement Agency's order form.	RRCMC	CY + 2	21 CFR 1305.17(c)	Shred/Delete

Code		Record Series		Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Title	Description						
RRCMC-PHR650	Prescription Records	Records related to the dispensing of controlled or non-controlled substances, which must be filed separately. Records series may include the prescription and supporting documentation.	RRCMC	CY + 3	16 CCR 1717(f)	Shred/Delete	
RRCMC-PHR700	Quality Assurance Records	Records related to ongoing quality insurance efforts as well as investigation and analysis of medication errors.	RRCMC	CL + 5	16 CCR 1711(f); 22 CCR 53861	Shred/Delete	
RRCMC-PHR750	Recall Records	Records related to the manufacturer's recall of drugs and records evidencing removal of drugs from all units and satellite facilities.	RRCMC	CY + 6	GC 26202; Best Practice	Shred/Delete	
RRCMC-PHR800	Records of Sale, Acquisition and Disposition of Drugs	Records documenting the sale, acquisition and disposition of all drugs.	RRCMC	FY + 7	BP 4081(a), 4105(c), 4333(a); Best Practice	Shred/Delete	
RRCMC-PHR850	Research Related to Purposely Mislabeled Prescriptions - Research	Records related to a research study.	RRCMC	CL + 30	BP 4078(c); Best Practice	Shred/Delete	
RRCMC-PHR900	Sterile Injectable Product Records	Records related to sterile injectable products including name, lot number, amount, date and compounding information.	RRCMC	CY + 3	16 CCR 1751.1(c)	Shred/Delete	
Public Relations Records (PR)							
RRCMC-PR100	Authorization to Use/Disclose Protected Health Information	Records documenting how protected health information will be used by the hospital and all instances of the disclosure of this information to other entities.	RRCMC	CY + 6	45 CFR 164.530(j)(2)	Shred/Delete	
RRCMC-PR200	Consent to Photograph	Authorization to photograph a patient (as opposed to an employee) for use in a media format.	RRCMC	Discontinued + 6	45 CFR 164.530(j)(2)	Shred/Delete	

Record Series		Description	Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
Research Records (RES)						
RCRMC-RES100	Contracts - Research related	Records related to contracts with study sponsors and principal investigators including supporting documentation.	RCRM	CL + 7 unless longer per terms of agreement	GC 26202; Best Practice	Shred/Delete
RCRMC-RES200	Human Subject Records - Adult	Records related to the use of human subjects during research. Records series may include the subject's medical record.	RCRM	CL + 7	22 CCR 70751(c)	Shred/Delete
RCRMC-RES250	Human Subject Records - Minor	Records related to the use of human subjects during research. Records series may include the subject's medical record.	RCRM	Age 18 + 1 or CL+7, whichever is later	22 CCR 70751(c)	Shred/Delete
RCRMC-RES300	Institutional Review Board (IRB) Records	Records related to the IRB's approval of a research project. Records series may include the proposal, scientific evaluation, approved sample documents, progress reports, reports of injuries to subjects, etc.	RCRM	CL + 3	21 CFR 56.115(b); 45 CFR 46.115(b)	Shred/Delete



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency:	Riverside County Regional Medical Center	Schedule Type: Departmental Records Retention Schedule (DRRS)
Division:	ALL	Schedule #:
Section:	ALL	DRRS_RCRMC_2014_Rev02

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: Lowell Johnson Title: Chief Executive Officer Date: 8/19/14

Records Management and Archives Program
 Name: Bobbi Schutte Title: Assistant Assessor-Clerk-Recorder Date: 8/14/14

County Archives
 Name: Jim Hofer Title: Archives Manager Date: 18 AUGUST 2014

County Auditor-Controller
 Name: Tanya Harris Title: Chief Accountant, General Accounting Date: 8/14/14

Riverside County Information Technology
 Name: Sebron Patridge Title: Chief Information Security Officer Date: 8/19/14

County Counsel (Approval as to form)
 Name: Tawny Lieu Title: Deputy County Counsel Date: 8/20/14

County Risk Management
 Name: Jim Sessions Title: Risk Manager Date: 8/19/14