

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



ITEM
3.25
(ID # 4980)

MEETING DATE:

Tuesday, August 29, 2017

FROM : ASSESSOR-COUNTY-CLERK-RECORDER:

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER / RMAP: Approval of Departmental
Records Retention Schedules, District All. [\$0]

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached new Departmental Records Retention Schedule for Purchasing and Fleet Services;
2. Approve the attached revised Departmental Records Retention Schedule for RUHS – Behavioral Health.

ACTION: 4/5 Vote Required, Policy

Kan Wang

Kan Wang, Assistant Assesor-County-Clerk Recorder 8/1/2017

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Ashley, seconded by Supervisor Perez and duly carried, IT
WAS ORDERED that the above matter is approved as recommended.

Ayes: Jeffries, Washington, Perez and Ashley
Nays: None
Absent: Tavaglione
Date: August 29, 2017
xc: ACR

Kecia Harper-Ihem
Clerk of the Board

By: *[Signature]*
Deputy

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

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost
COST	\$ NA	\$ NA	\$ NA	\$ NA
NET COUNTY COST	\$ NA	\$ NA	\$ NA	\$ NA
SOURCE OF FUNDS: NA			Budget Adjustment No	
			For Fiscal Year: 17/18	

C.E.O. RECOMMENDATION: APPROVE

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 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. Prior agenda references are noted on the appropriate cover page. Per Government Code 26202, this item requires a 4/5 vote.


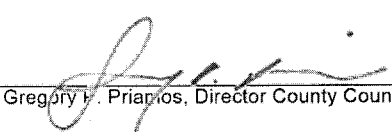
Impact on Residents and Businesses

The citizens of Riverside County benefit from the efficiencies gained through the application of generally accepted recordkeeping principles.

ATTACHMENTS (if any, in this order):

ATTACHMENT A. Purchasing and Fleet DRRS Rev01

**ATTACHMENT B. RUHS-Behavioral Health Rev03
Supersedes DRRS adopted October 20, 2015 as Item #3.6**

 Stephanie Pasi 8/22/2017 Gregory H. Priarios, Director County Counsel 8/3/2017



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_PUR_2017_Rev01)**

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2016-126, "Pertaining to the Management, Retention, Destruction or Disposition 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 751
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for Purchasing and Fleet Services 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 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, public 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.9)

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

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 Records: The agency or department responsible for the county's official record.

Official Record Retention: The length of time that the official 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 official record for the period specified.

Final Disposition: The recommended final status or arrangement for the official record, usually disposed of by 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.

EXP = Expiration

CCP = California Code of Civil Procedure

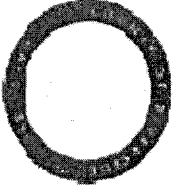
GC = California Government Code

CFR = Code of Federal Regulations

P = Permanent

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



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Purchasing & Fleet Services

Schedule Type: Departmental Records Retention Schedule

Division: ALL

Schedule #:

Section: ALL

DRRS_PUR_2017_Rev01

With full consideration given to the preservation of the historic records of the County, the undersigned hereby certifies that this retention schedule conforms to the legal and regulatory requirements and best business practices known at this time.

Department Head:

Lisa Brandl

Lisa Brandl, Purchasing & Fleet Services Director

Date: 7/19/12

Code	Title	Description	Official Record	Official Record Retention	Citation / Rationale	Final Disposition
Central Mail (CTM)						
PUR_ CTM100	Business Reply Mail	Records related to the county use of USPS business reply mail. Records series includes department addressee lists and tracking information.	Purchasing / Fleet	CY + 2	GC 26202, Best Practice	Shred / Delete
PUR_ CTM200	Delivery log	Signature log documenting delivery of department correspondence or other transference such as warrants.	Purchasing / Fleet	CY + 2	GC 26202, Best Practice	Shred / Delete
PUR_ CTM300	Mailing Lists	Records related to mailing lists sent to a 3rd party vendor for the purposes of assisting with delivery.	Purchasing / Fleet	EXP + 4	CCP 337, GC 26202	Shred / Delete
PUR_ CTM400	Saturation Mailing	Records related to the county use of USPS saturation mailings. Records series includes maps and mail routes used	Purchasing / Fleet	CY + 2	GC 26202, Best Practice	Shred / Delete
Fleet Services (FLS)						
PUR_ FLS100	Bulk Storage Containers	Records related to the inspection and testing of bulk storage containers with no secondary containment and for which an impracticability determination has been made.	Purchasing / Fleet	CY + 3	40 CFR 112.7(e)	Shred / Delete
PUR_ FLS200	Lowestmost Drain and all Outlets	Records related to the inspection and testing of the lowestmost drain and all outlets of tank car or tank truck at loading/unloading racks	Purchasing / Fleet	CY + 3	40 CFR 112.7(e)	Shred / Delete

FORM APPROVED COUNTY COUNSEL
BY *Kristine Bell-Valdez* 8/3/17
KRISTINE BELL-VALDEZ DATE

PUR_ FLS300	Valves and Piping	Records related to the inspection and testing of valves and piping associated with bulk storage containers with no secondary containment and for which an impracticability determination has been made.	Purchasing / Fleet	CY + 3	40 CFR 112.7(e)	Shred / Delete
Purchasing (PRC)						
PUR_ PRC100	Purchase Order Training/Certification	Records related to the training and certification of department staff wishing to receive authority to issue purchase orders. Records series includes request from department to authorize their employee(s), training information, and certification details indicating the name of the person authorized and the authority level approved.	Purchasing / Fleet	CL + 7	GC 26202; Best Practice	Shred / Delete
PUR_ PRC200	P-Card Records	Requests to issue, cancel or change the purchasing limit for the use of County furnished credit cards. Records series may include signed agreements and correspondence.	Purchasing / Fleet	CL + 7	GC 26202; Best Practice	Shred / Delete
PUR_ PRC300	Vendor Certificates of Insurance	Records supporting the insurance coverage of vendors through the end of the agreement their county agreement	Purchasing / Fleet	EXP + 10	CCP 337; CCP 337.15(a); 48 CFR 4.805 et seq; Best Practice	Shred / Delete



**County of Riverside, California
Departmental Records Retention Schedule
(DRRS_MH_2017_Rev03)**

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2016-126, "Pertaining to the Management, Retention, Destruction or Disposition of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

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County of Riverside
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951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the RUHS-Behavioral Health is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted October 20, 2015 as Item #3.6

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 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, public 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.9)

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Final Disposition: The recommended final status or arrangement for the official record, usually disposed of by 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.

CY = Calendar year end

FY = Fiscal year end

BP = California Business and Professions Code

GC = California Government Code

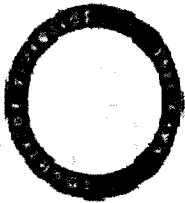
CCP = California Code of Civil Procedure

REV = Revised

CFR = Code of Federal Regulations

P = Permanent

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.



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Riverside University Health System - Behavioral Health
 Schedule Type: Departmental Records Retention Schedule

Division: ALL
 Schedule #:
DRRS_MH_2017_REV03

Section: ALL

With full consideration given to the preservation of the historic records of the County, the undersigned hereby certifies that this retention schedule conforms to the legal and regulatory requirements and best business practices known at this time.

Department Head: Steve Steinberg Date: 07.20.17
 Steve Steinberg, Director

Record Series

Code	Title	Description	Official Record Holder	Official Record Retention	Citation / Rationale	Final Disposition
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, abstracts and treatment authorization requests (TARs), etc.	Mental Health	CL + 7	BP 2919	Shred / Delete
MH300	Client Files - Not Accepted	Referrals, applications, intake records, verifications, forms, notices, agreements, appeals, etc.	Mental Health	CL + 4	GC 26202; CCP 337	Shred / Delete

APPROVED/COUNTY COUNSEL:
Christine Bell-Valdez 8/3/17
 DATE

Record Series		Description	Official Record Holder	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
MH410	Client Transportation Records	Records related to the transport of clients. Records series may include date/time/location of service, odometer readings, vehicle ID, operator name, client information, etc.	Mental Health	CY + 5	42 CFR 489.20 (f)(1); 22 CCR 51502.1(f)(2) and 51476(e)	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

Record Series		Description	Official Record Holder	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
MH680	Patient Rights Records	Records related to the rights of patients including support for the denial of such rights. Records series may include reports, statistics, writs, etc.	Mental Health	CL + 6	45 CFR 164.530(j); GC 26202; Best Practice	Shred / Delete
MH700	Prescriptions	Pharmaceutical records or receipts of controlled substances dispensed.	Mental Health	CY + 3	BP 4333	Shred / Delete
MH725	Records Requests	Records related to the authorization release of medical records and associated documentation. Records series may include internal tracking systems used to document release.	Mental Health	CL + 2	GC 26202	Shred / Delete
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
MH775	Social Security Forms	Client applications for social security benefits and other benefit application information.	Mental Health	CY + 2	GC 26202	Shred / Delete
MH780	Staff Meeting Minutes	Internal staff meeting minutes documenting significant department and/or personnel decisions or actions. Records series may include documentation of staff attendance, work expectations, direction, guidance and policy review.	Mental Health	CY + 2	GC 26202	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

Record Series		Description	Official Record Holder	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title					
MH850	Warehouse Auction	List of client property that has been publically auctioned.	Mental Health	FY + 7	GC 26202; Best Practice	Shred / Delete
MH950	ZIPS Slips	Records related to staff time and services provided to clients on a given day. Used to verify data entry.	Mental Health	CL + 2	GC 26202	Shred / Delete