

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



ITEM: 3.5
(ID # 14787)

MEETING DATE:
Tuesday, April 13, 2021

FROM : ASSESSOR-COUNTY-CLERK-RECORDER:

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER/ RAMP: Approval of the revised Departmental Records Retention Schedule, All Districts. [\$0] (4/5th Vote Required)

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached revised Departmental Records Retention Schedule for the Department of Public Social Services.

ACTION:4/5 Vote Required, Policy

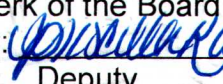


Kan Wang, Assistant Assesor-County-Clerk Recorder 3/22/2021

MINUTES OF THE BOARD OF SUPERVISORS

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

Ayes: Jeffries, Spiegel, Washington, Perez, and Hewitt
Nays: None
Absent: None
Date: April 13, 2021
xc: ACR

Kecia R. Harper
Clerk of the Board
By: 
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: 20202/2021	

C.E.O. RECOMMENDATION: Approval

BACKGROUND:

Summary

In accordance with the provisions of Board Policy A-43, the Records Management and Archives Program (RMAP) worked with appropriate department 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. Pursuant to Government Code Section 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: Public Social Services Department

Supersedes DRRS adopted January 10, 2012 as agenda item #3.10


Stephanie P. ..., Principal Management Analyst 4/5/2021


Gregory H. Priamos, Director County Counsel 3/31/2021



County of Riverside, California Departmental Records Retention Schedule (DRRS_ DPSS _2021_Rev02)

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)
2724 Gateway Drive
Riverside, CA 92507
951-486-7067
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Department of Public Social Services Department (DPSS) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 10, 2012 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 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

ACL = All County Letter (distributed by the California Department of Social Services)

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

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.

CMIPS = Case Management, Information and Payrolling System

ERISA = Employee Retirement Income Security Act (1974)

FY = Fiscal year end

GC = California Government Code

P = Permanent

PC = California Penal Code

REV = Revised

T = Termination (of employment or service); Termination of probation

WIC = California Welfare and Institutions Code



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Department of Public Social Services

Schedule Type: Departmental Records Retention Schedule (DRRS)

Division: All

Schedule #:

Section: All

DRRS_DPSS_2021_Rev02

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:

Sayori Baldwin, Public Social Services Director

Date:

3/11/2021

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
Administrative Services						
DPSS0100	Data Management	Records relating to database structure and content, which are necessary to ensure adequate documentation of system.	DPSS / Research and Evaluation Unit	REV + 2	GC 26202	Shred / Delete
DPSS0150	Program Audits - State or Federal	Records relating to the documentation and verification necessary to support required case level reviews for the State and/or Federal governments.	DPSS / Research and Evaluation Unit; Quality Control	FY + 3	ACL 11-20	Shred / Delete
DPSS0200	Reports	Data and information provided to management and staff for use in planning, decision-making and workload-management.	DPSS / Research and Evaluation Unit	CY + 3	GC 26202; Best Practice	Shred / Delete
DPSS0300	Research and Program Evaluation - Local or small scale studies	Records necessary to assess the effectiveness and/or service needs of DPSS social services' programs. Records series applies to local, or small scale studies and includes: contracts or MOUs, correspondence, management reports, surveys, and proposals.	DPSS / Research and Evaluation Unit	Last activity + 5	Best Practice	Shred / Delete
DPSS0350	Research and Program Evaluation - national or large scale studies	Records necessary to assess the effectiveness and/or service needs of DPSS social services' programs. Record series applies to national or large-scale studies and includes: contracts or MOUs, correspondence, management reports, surveys, and proposals.	DPSS / Research and Evaluation Unit	Last activity + 10	Best Practice	Shred / Delete
Adult Services						
DPSS0400	Applications for Health Benefits	Applications from In-Home Supportive Services providers, who are applying for health benefits.	DPSS / Adult Services Division	T + 6	ERISA 107 and 209; Best Practice	Shred / Delete

FORM APPROVED COUNTY COUNSEL

BY: MCT 29 MAR 21
MICHAEL C THOMAS DATE

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPSS0450	Client Files - IHSS	Records related to a client's IHSS case. Records series may include Medi-Cal eligibility information, assessment of IHSS services and provider enrollment documentation.	DPSS / Adult Services Division	CL + 7	Best Practice	Shred / Delete
DPSS0500	Client Information Release	Records related to the approval for other agencies to disclose health information. Records series includes, the Multipurpose Senior Services Program Authorization for use and Disclosure of Protection Health Information form.	DPSS / Adult Services Division	CL + 6	Best Practice	Shred / Delete
DPSS0550	Consolidated Omnibus Budget Reconciliation Act (COBRA) & American Reinvestment & Recovery Act (ARRA) Records	Documents pertaining to providers' application for COBRA. Records series may include COBRA applications and Case Management Information & Payrolling System printouts.	DPSS / Adult Services Division	CL + 6	ERISA 107 and 209; Best Practice	Shred / Delete
DPSS0600	Health Benefits Premium Collection Packet	Documents relating to the collection of premium payments from eligible providers. Record series may include, the collection letter and Case Management Information and Payrolling System (CMIPS) printouts and Full Data Set (FDS) printouts.	DPSS / Adult Services Division	CL + 6	ERISA 107 and 209; Best Practice	Shred / Delete
DPSS0650	Health Benefits Reconciliations	Documents relating to the reconciliation of health benefits for providers. Record series may include, invoices from benefit providers and reports from the United Domestic Workers of America.	DPSS / Adult Services Division	CL + 6	ERISA 107 and 209; Best Practice	Shred / Delete
DPSS0700	Registry Case Files - Consumer	Documents pertaining to a client's IHSS case. Records series may include, consumer registry application, case notes, copies of match lists, correspondence and the information tracked within the Case Management, Information & Payrolling System (CMIPS).	DPSS / Adult Services Division	Audit + 10	WIC 10851	Shred / Delete
DPSS0750	Registry Case Files - Provider	Documents pertaining to a provider's registry intake process. Records series may include provider's application, copy of provider's driver's license and social security number, any background check information and drug and alcohol screening records.	DPSS / Adult Services Division	T + 10	WIC 12301.24; WIC 12305.87 (b) and (d)(4); ACL 10-35; ACL 10-51; ACL 11-12	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPSS0800	Registry Case Files Provider (ineligible and disqualified)	Documents pertaining to a provider's registry intake process. Records series may include provider's application, copy of provider's driver's license and social security number, any background check information and drug and alcohol screening records.	DPSS / Adult Services Division	CL + 2	GC 26202; ACL 10-51	Shred / Delete
DPSS0850	Reports	Records related to administrative reports such as Quality Assurance reports, IHSS Death Match reports, IHSS Fraud Reports, statistical reports, work flow reports, program access agreements and State policy interpretations.	DPSS / Adult Services Division	CL + 5	Best Practice	Shred / Delete
DPSS0900	Worker's Compensation File	Documents pertaining to Worker's Compensation claims. Records series may include, initial claims, letters from doctors and other information pertaining to the Worker's Compensation claim.	DPSS / Adult Services Division	Once all benefits have been paid in full + 7	8 CCR 10102; 8 CCR 15400.2	Shred / Delete
DPSS0910	Adult Protective Services Case Files	Client's name, address, and other personal information. Reports of abuse, investigation documentation, reports, and related correspondence. Additionally, any applications resulting in referrals or services rendered by established vendors.	DPSS / Adult Services Division	CL+7	WIC 10851	Shred / Delete
DPSS0920	Adult Protective Services Program Data	Caseload information, agency invoices, and other records dealing with the program.	DPSS / Adult Services Division	CL+8	Best Practice	Shred / Delete
Children's Services Division						
DPSS0950	Adoption Files	All documents, forms, and email related to all aspects of CWS adoption cases.	DPSS / Children's Services Division	P	22 CCR 89179; FC9200	Dept.
DPSS1000	Case File	All documents, forms, and email related to Child Welfare Services' cases in all programs except ICWA cases. Records series may include, group home/STRTP placement screenings and Child and Family Team meeting files that document meetings with parents and community and department staff, to determine appropriate placement of a child.	DPSS / Children's Services Division	P	California Manual of Policies and Procedures 31-075.2 and 31-075.21; WIC 10851(a);	Shred / Delete
DPSS 1025	Case File	All documents, forms and emails related to Child Welfare Services cases for ICWA. Records series may include, group home placement/STRTP screenings and Child and Family Team files that document meetings with parents, and community and department staff, to determine appropriate placement of a child.	DPSS / Children's Services Division	P	25 USC 1915(e); WIC 361.31(m)	Dept.

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPSS1050	Data Reports	All schedules and ad hoc data or other statistical reports and projects not case-specific.	DPSS / Children's Services Division	P	GC 26202	Shred / Delete
DPSS1100	Referral File	All documents, forms, email and recordings of referrals received, which do not transition to a case file.	DPSS / Children's Services Division	P	WIC 10851(e) (Best Practice)	Shred / Delete
Self-Sufficiency						
DPSS1150	C-IV Case Records	All case-related records used to identify customers, who are eligible for services; indicate services provided and case actions as applicable. Records series may include, applications for benefits, customer rights and responsibilities, customer verifications, customer medical records, correspondence, child care documents, service plans/agreements and/or administrative hearing documents.	DPSS / Self-Sufficiency	Case Closure + 6	45 CFR 164.528, 45 CFR 75.361, 45 CFR 164.316, WIC 10851, 22 CCR 40813(b)	Dept.
DPSS1160	C-IV/Cal SAWS Case Records	All time-limit records and warrant registers.	DPSS / Self-Sufficiency	P	Best Practice	Dept.