

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



**ITEM: 3.14
(ID # 23460)**

MEETING DATE:
Tuesday, December 12, 2023

FROM : ASSESSOR-COUNTY-CLERK-RECORDER:

SUBJECT: ASSESSOR-COUNTY CLERK-RECORDER/RMAP: Approval of Revised Departmental Records Retention Schedule for the Department of Public Health (DPH), All Districts. [\$0] (4/5th Vote Required)

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the attached Departmental Records Retention Schedule for the Department of Public Health (DPH).

ACTION:4/5 Vote Required, Policy

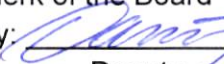


Kan Wang, Assistant Assesor-County-Clerk Recorder 11/13/2023

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Gutierrez, 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 Gutierrez
Nays: None
Absent: None
Date: December 12, 2023
xc: ACR

Kimberly A. Rector
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	\$0	\$0	\$0	\$0
NET COUNTY COST	\$0	\$0	\$0	\$0
SOURCE OF FUNDS: N/A			Budget Adjustment: No	
			For Fiscal Year: 2023/2024	

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 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:

**DRRS Department of Public Health (DPH) – DRRS_DPH_2023_REV02 – Supersedes
DRRS_DPH_2016_Rev01 adopted January 17, 2017, as Agenda #3.8**

Cesar Bernal
Cesar Bernal, PRINCIPAL MGMT ANALYST 12/4/2023

Aaron Gettis
Aaron Gettis, Deputy County Counsel 12/1/2023



County of Riverside, California Departmental Records Retention Schedule (DRRS_DPH_2023_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
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the department of RUHS – Public Health (DPH) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 17, 2017, as agenda #3.8.

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.

BCP = California Business and Professions Code

CCR = California Code of Regulations

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

T = Termination (of employment, of use, i.e., of a product or piece of equipment, of a benefit or plan)



COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department of Public Health

Schedule Type: Departmental Records Retention Schedule (DRRS)

Division: All

Section: All

DRRS_DPH_2023_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: Rachelle Román

Date: Nov 21, 2023

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
Administration (ADM)						
DPH-ADM100	Annual Reviews	Records related to the annual review of departmental safety plans such as transmissible diseases and biosafety plans.	Public Health	CY + 3	GC 26202; 8CCR 5199(j)(3 (A)	Shred / Delete
DPH-ADM220	Case Management	Records related to the administration of non-medical case management services. Records series may include documentation of participant outcomes and correspondence.	Public Health	CY + 3	GC 26202; Best Practice	Shred / Delete
DPH-ADM250	Contracts/ Agreements	Records supporting a binding agreement to provide goods or services. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, correspondence, procurement documentation, and salary administration including time sheets if appropriate. May also include working files if they relate to negotiations or changes.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42CFR 422.504(i)(2)(ii)	Shred / Delete
DPH-ADM350	HIPAA Records	Records related to compliance with the Health Insurance Portability and Accessibility Act (HIPAA). Records series may include notice of privacy practices, acknowledgement of receipt, correspondence, forms, HIPAA related policies and procedures, training coordination materials and sign-in sheets.	Public Health	CY + 7	45 CFR 164.530(j)(2); Best Practice	Shred / Delete
DPH-ADM400	Program Records - Administration	Records related to the administration of any program under DPH. Records series may include provider information, time studies, logs, etc.	Public Health	CL + 2	GC 26202; Best Practice	Shred / Delete

FORM APPROVED COUNTY COUNSEL

BY MCT 30 NOV 23
MICHAEL C THOMAS DATE

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPH-ADM500	Referrals -Inactive	Record of referral requesting DPH services, but never opened.	Public Health	CL + 3	17 CCR 6870; GC 26202; Best Practice	Shred / Delete
Communicable Diseases (DEP)						
DPH-DEP125	Cases and Reports	Records pertaining to cases of disease that do not require an outbreak investigation. Records series may include individual disease investigation forms, laboratory reports, case notes and other communications such as information received on the Confidential Morbidity Report, and State mandated reports.	Public Health	CY + 7	GC26202; 17 CCR 2509	Shred / Delete
Fiscal (FCL)						
DPH-FCL100	Accounts Payable	Records documenting payment required to be made for goods and services. May include claims, credit card transactions, invoices, petty cash records, refunds, vouchers and warrants.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2)(ii)	Shred / Delete
DPH-FCL200	Accounts Receivable	Records documenting payment received for goods and services provided by the county. May include collection notices & records, credit advices, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2)(ii)	Shred / Delete
DPH-FCL300	Banking	Records documenting transactions with an outside financing institution. May include statements, reconciliations, deposit slips, canceled checks for minor transactions, negotiated checks, returned checks, and check registers.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2)(ii)	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPH-FCL400	Budgets - supporting information	Records supporting the approved department budget and maintained as audit support. May include submissions and appeals in addition to budget manuals, spreadsheets, statistics, County Auditor Controller directives, and other data accumulated in the budget development, submission and presentation process.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2)(ii)	Shred / Delete
DPH-FCL500	Financial reports - annual	Records of financial reports produced for a single fiscal year in order to monitor spending, workflow, performance measures and other department operations. May include monthly revenue & expenditure reports, annual fixed asset ledgers, and appropriation transfers.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2)(ii)	Shred / Delete
DPH-FCL600	Transaction Summaries	Journals, registers, and subsidiary ledgers dedicated to individual funds or functions. May include accounts payable & receivable, expenditures, investments, properties and revenue, cash disbursements, cash receipts, vouchers and warrants.	Public Health	Close of Contract or Last Audit + 10, whichever is later	42 CFR 422.504(i)(2)(ii)	Shred / Delete
Human Resources (HR)						
DPH-HR300	Training Records	Records related to employee job training. Record series includes the training presentation, date course was given, names of all attendees, names of attendees that successfully completed the training, and training certificates.	Public Health	CY + 5	29CFR 1910.120 Appendix E(9); 16 CCR 1451(d); 16 CCR 1454(f)	Shred / Delete
Laboratory (LAB)						
DPH-LAB100	Analytic Systems Records	Records of quality control and patient tests (including instrument printouts) documenting all analytic systems activities as specified in appropriate statutes and/or regulations.	Public Health	CY + 2	42CFR 493.1105(a)(3)	Shred / Delete
DPH-LAB150	Autoclave Sterile Control Indicators	Records of the weekly inspection of autoclave to fulfill OSHA requirement.	Public Health	FY + 3	HSC 117943; HSC 118215(a)(2)(E)	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPH-LAB250	Medical Waste Management Tracking Records	Records tracking the disposal of biohazardous waste.	Public Health	CY + 3	HSC 117943; HSC 117975	Shred / Delete
DPH-LAB350	Proficiency Testing Records other than for rabies	Records pertaining to the evaluation and competency testing.	Public Health	CY + 2	42CFR 493.1105(a)(4)	Shred / Delete
DPH-LAB400	Proficiency Testing Records - rabies	Records pertaining to the evaluation and competency testing for rabies.	Public Health	CY + 10	42 CFR 493.1105(a)(4) ; Best Practice	Shred / Delete
DPH-LAB450	Quality System Assessment Records	Records of quality control/assessment documentation. (documentation regarding calibration, control procedures, maintenance and function tests, test result comparison activities, workload limit records, alarm system checks, proficiency testing, corrective actions, etc.)	Public Health	CY + 2	42 CFR 493.1105(a)(5)	Shred / Delete
DPH-LAB550	Test Procedures	Records documenting how each laboratory test is to be performed. Records must include the date the test was initially in use and the date of discontinuance.	Public Health	CY + 2	42CFR 493.1105(a)(2)	Shred / Delete
DPH-LAB600	Test Reports	Records of the final, preliminary and/or corrected reports.	Public Health	CY + 2	42CFR 493.1105(a)(6)	Shred / Delete
DPH-LAB650	Test requisitions and authorizations other than for rabies	Records related to the request for and results of laboratory testing. Records series includes request form, which contains information such as patient identification, specimen type, and laboratory test requested, and the results of the test. Records series also includes any necessary authorizations.	Public Health	CY + 2	42CFR 493.1105(a)(1)	Shred / Delete
DPH-LAB700	Test requisitions and authorizations - rabies	Records related to the request for and results of laboratory testing for rabies. Records series includes request form, which contains information such as patient identification, specimen type, and laboratory test requested, and the results of the test. Records series also includes any necessary authorizations.	Public Health	CY + 10	42 CFR 493.1105(a)(1) ; Best Practice	Shred / Delete

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
DPH-LAB750	Validations	Records of test system performance specifications that the laboratory established or verifies under 42 CFR 493.1253 for the period of time the laboratory uses the test system.	Public Health	CY + 2	42 CFR 493.1105(a)(3)(i)	Shred / Delete
Medical Records (MED)						
DPH-MED100	Medical Records - Adult	Medical record maintained by DPH staff documenting all contact with the client while under DPH care or participating in case management follow-up to medical care. Records series include copy of referral, medical staff comments and notes, patient encounter form, test results, x-rays and any related correspondence or medical documentation.	Public Health	Last date of service + 7	22 CCR 70751	Shred / Delete
DPH-MED200	Medical Record - Minor	Medical record maintained by DPH staff documenting all contact with the client while under DPH care or participating in case management follow-up to medical care. Records series include copy of referral, medical staff comments and notes, patient encounter form, test results, x-rays and any related correspondence or medical documentation.	Public Health	Age 18 + 1 year, but not less than 7 years from last date of service	22 CCR 70751	Shred / Delete
DPH-MED400	Client Files - Women, Infant & Children Program (WIC)	Client file maintained by the Women, Infant & Children (WIC) Program. Records series includes the family file and the daily file. May also include applications, claims, contracts, doctor referrals, expenditures, financial reports, questionnaire, proof of address, income and photo ID, requisitions, and voucher logs.	Public Health	End of Contract + 3 1/2 years (42 months)	7CFR 246.25(a)(2); Best Practice	Shred / Delete
Vital Records (VIT)						
DPH-VIT100	Banknote Control Records	Records documenting the control process for banknote paper used for vital records. Records series may include control logs, regular and periodic reconciliations, and request forms.	Public Health	CY + 7	GC26202; Best Practice	Shred / Delete