
EVALUATOR MANUAL TRANSMITTAL SHEET

<p><u>Distribution:</u></p> <p><input type="checkbox"/> All Child Care Evaluator Manual Holders</p> <p><input type="checkbox"/> All Residential Care Evaluator Manual Holders</p> <p><input checked="" type="checkbox"/> All Evaluator Manual Holders</p>	<p><u>Transmittal No.</u> 09RM-06</p> <hr/> <p><u>Date Issued</u> August 2009</p>
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Subject:

Reference Materials
Office Functions

Reason for Change:

Add section 2-3152 – “Facility Closure” Facility Records

Correct the title for Licensing Program Manager and reformat the pages.

Filing Instructions:

REMOVE – Pages 9 and 10

INSERT – Pages 9 and 10

Approved:

Original signed by Thomas Stahl

9/2/09

THOMAS STAHL Chief
Policy Development Bureau
Community Care Licensing Division

Date

Contact Person: Fernando Sandoval

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2-3150 FACILITY FILES (Continued)**2-3150**

It is important that you pay particular attention to the filing of written documents in facility files—assuring confidentiality of records. (Section 2-6000 of the Evaluator Manual)

2-3151 “FACILITY FILES” RECORDS MANAGEMENT**2-3151**

(Records Retention, Preservation and Destruction)

Statutory Authority

The California Records Management Program is mandated by the State Records Management Act contained in Article 3, Government Code, Chapter 5, Sections 14740-14769, and administered by authority of the State Administrative Manual (SAM), Section 1600, et al. The California Department of Social Services Unit has developed a Records Management Handbook for this purpose.

Specific program record questions can be addressed through your Regional Records Coordinator and the Records Services Unit will provide training when necessary.

All facility files shall be maintained by offices in accordance with the designated Regional Records Retention Schedule (STD 73). The designated Records Retention Schedule shall be revised and approved every five years. At anytime within that five-year period, if a program organizational change occurs, offices must promptly amend the Records Retention Schedule. Offices should confidentially maintain current reference binders on all documents related to the retention, indexing, transferring and destruction of office records. Authorized staff should periodically reference the Records Retention Schedule to verify current file categories, retention periods, legal authority, confidentiality status and/or necessary record preservation referrals to State Archives.

State Archives Authority:

Government Code, Section 14755, declares that no records shall be destroyed or otherwise disposed of if the Secretary of State, State Archives has determined the records appropriate for preservation. So, before disposing of any records, offices must review their Records Retention Schedule to determine if any records have been flagged, “Hold for Archives.” This flag instructs office staff to forward records to State Archives when records have met their predetermined retention and are no longer of value or useful to the program or department.

Confidential records must be identified and protected by the **Public Records Act** (Government Code, Section 6254), **Information Practices Act of 1977** (Civil Code, Section 1798 et seq.), and/or Federal or State laws under which your program operates. Records affected by the Public Records Act exemptions must be so designated in your Records Retention Schedule. (**Also see Sections 2-6000 through Sections 2-6500, which describe personal and confidential information and restrictions.**)

State Record Center supplies are low cost storage of inactive records until “Authorization for the Destruction of Records” (GEN 676) is authorized by program management. Any inactive record that have been transferred by means of “Records Transfer List” (STD 71) to State Record Center are retrievable within 24 hours or less when necessary. Complete

2-3151 “FACILITY FILES” RECORDS MANAGEMENT (Continued) 2-3151
(Records Retention, Preservation and Destruction)

the (STD 76) “State Record Center Reference Request” with appropriate Records Transfer List referenced information. This reference information should be maintained by designated staff and in a secured Records Services Unit for processing or call to expedite processing when record is required in less than 24 hours.

2-3152 “FACILITY CLOSURE” FACILITY RECORDS 2-3152
(Records Retention, Preservation and Destruction)

Community Care Licensing is not responsible for retaining personnel and resident records from closed facilities. Licensees of closed facilities are responsible for archiving or destroying their facility’s personnel and resident records.

2-3200 MEETINGS WITH LOCAL AGENCIES 2-3200

Attendance at various meetings with State and local agencies and Community groups (other than routine meetings with applicants/licensees) must be approved by the **Licensing Program** Manager. Discuss all such meetings in advance with your **Licensing Program** Manager. Your **Licensing Program** Manager will provide approval for your participation in such meetings via e-mail with a copy to the Program Administrator.

2-3310 LEGISLATIVE CONTACTS 2-3310

Whenever you receive a telephone call or in person contact from legislators or their staff, the following procedures should be used:

1. Meetings with *legislative* members must be approved in advance by the Health and Welfare Agency. Regional Manager’s will request approval upward through Program Administrator/Branch Managers.
2. Answers to direct inquires regarding specific cases and/or license status should be specific and to the point. Response is limited to public licensing information.
3. If you are asked about why it takes so long to complete a licensing process or perform certain licensing functions refer the caller to your Regional Office Manager.
4. Inquiries regarding overall Community Care Licensing Division program effectiveness, or other related issues/subjects other than public licensing information should be referred through the Regional Manager to the Deputy Director, of Community Care Licensing.

Report all contacts *immediately* to your **Licensing Program** Manager and complete the Report of Legislative/Media Contacts (LIC 9021) which includes a brief summary of the conversation. The Regional Manager then immediately forward this report to the Regional Branch Managers.