

COUNTY OF AMADOR - RECORDS MANAGEMENT  
RECORDS RETENTION SCHEDULE (RM3)

Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006
Division	ALL COUNTY DEPARTMENTS	Page	1	of	7
Address		Records Management Approval Number (2)	000-2006-02 BOS Resolution. #06-170		

ITEM NUMBER	TITLE AND DESCRIPTION OF RECORDS	Media	Vital	Archive	RETENTION			REMARKS
					OFFICE	RC	TOTAL	
(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	Note: This Records Retention Schedule applies to standard administrative records that are maintained by all County agencies.							"Administrative Value" refers to assisting the department in performing either current or future work.
	This Records Retention Schedule is not applicable to the County Official Record Copy.							"Agency" refers to an agency, department, or similar major unit of County organization.
	Destruction of duplicate copies is authorized pursuant to Government Code Section 26201.							"Audit" refers to all required audits, including audits by external regulatory/funding audits.
	Pursuant to Government Code Section 26202, some records more than two years old may be destroyed.							"County Official Record Copy" refers to the single copy that is kept to meet retention requirements pursuant to law, contract, grant, County policy, etc. References to this official copy are made only when a single agency (such as the Auditor-Controller (A-C)) retains the official copy for all other County offices.
	If a law, contract, grant, County policy, etc. requires that a specific agency file be retained for a period longer than that stated on this schedule, the longer retention period will apply and such record shall be listed on the Division specific retention schedule.							"CY" = Current Year
	Retention periods shall be extended when necessary to comply with audits, civil and criminal action, and any other matter requiring the continued retention of the records.							"CFY" = Current Fiscal Year
	If standard administrative records require storage at the Records Center, those records must be listed on the Division specific retention schedule depicting the times retained in the office and at the Records Center.							"Division" refers to a unit of an Agency or Department
	This retention schedule is applicable to all media types unless otherwise noted.							"FY" = Fiscal Year
	County records, both originals and copies, are COUNTY PROPERTY and are required to be kept in the appropriate offices and files. They may not be removed therefrom except for inter-office work or otherwise as necessary in the ordinary course of conducting County business. Employees may not take County records home or to some location other than their offices except as required in the ordinary course of conducting County business.							
	Based on current recycling policies, records not deemed confidential by the Agency possessing the records will be recycled unless otherwise noted.							

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RECORDS RETENTION SCHEDULE (RM3)

Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006	
Division	ALL COUNTY DEPARTMENTS	Page	2	of	7	Pages
Address	Records Management Approval Number (2) 000-2006-02 BOS Resolution. #06-170					

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					OFFICE  (8)	RC  (9)	TOTAL  (10)	
CW001	ACCOUNTING REPORTS ISSUED BY THE AUDITOR-CONTROLLER***** May include: various accounting reports, including encumbrance reports, expense reports, and revenue reports. Reports may be issued semi-monthly, monthly, or annually.				Retain until admin value ends		Destroy after administrative value ends	Auditor-Controller retains County Official Record Copy of claims. Government Code Section 26907 requires 5 year retention of claims, checks, and vouchers by Auditor-Controller. Destroy by shredding.
CW002	ACCOUNTS RECEIVABLE & CASH RECEIPTS***** May include: copies of: deposit authorizations, Official County Receipts, bank statements and reconciliations, interoffice & outside billings for services provided by County offices.				Retain CFY + 2 years		Destroy after CFY + 2 years	Pursuant to Government Code Section 26202. Auditor-Controller retains County Official Record Copy. Government Code Section 26907 requires 5 year retention; Auditor-Controller retains for 10 years - See Auditor-Controller Retention Schedule.
CW003	ACCOUNTS PAYABLE***** May include: copies of: records related to the procurement of and payment for goods and services; purchasing records, purchase orders, claims, invoices, petty cash records, travel expense. Some backup material may also be included which is unnecessary to forward to the Auditor.				Retain for CFY + 2 years		Destroy after CFY + 2 years	Pursuant to Government Code Section 26202. Auditor-Controller retains County Official Record Copy. Code of Civil Procedure Section 337 limits actions to 4 years. Government Code Section 26907 requires 5 year retention; Auditor-Controller retains for 10 years - See Auditor-Controller Retention Schedule.
CW004	AUTHORIZED SIGNATURE LIST ***** Employees authorized to sign purchasing, payroll, personnel, and other forms.				Retain 3 years after update		Destroy 3 years after update	
CW005	BUDGET - FINAL AND PROPOSED***** May include: final and proposed Budgets adopted by the Board of Supervisors for all County offices.				Retain until obsolete		Destroy when obsolete	

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RECORDS RETENTION SCHEDULE (RM3)

Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006	
Division	ALL COUNTY DEPARTMENTS	Page	3	of	7	Pages
Address	Records Management Approval Number (2) 000-2006-02 BOS Resolution. #06-170					

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CW006	BUDGET RECORDS***** May include: Documentation collected for budget preparation.				Retain CFY + 2 years		Destroy after 2 years	Retention not to exceed five years after the close of the Calendar Year.  Clerk of the Board of Supervisors retains County Official Record Copy. See California Code of Civil Procedure §337.  Forward to Archives at end of retention period.  County Counsel retains County Official Record Copy.  Human Resources retains County Official Record Copy of necessary Employee Records and Auditor-Controller retains County Official Record Copy of necessary Payroll records. Confidential records. Destroy by shredding.
CW007	CALENDARS-DESK/APPOINTMENT*****				Retain until admin value ends		Destroy when administrative value ends	
CW008	CONTRACTS AND AGREEMENTS RECORDS :***** May include: Records documenting purchasing, rental, lease, maintenance, service, and construction with vendors. Includes bids, proposals, change notices, contracts, and other supporting documents. Not including Real Property.				Retain until end of FY of final action or expiration of contract +5 yrs		Destroy 5 yrs after end of final action or expiration of contract	
CW009	CORRESPONDENCE FILE***** Routine correspondence issued and received by the department.			X	Retain CY + 2 years		Destroy after 2 years	
CW010	COUNTY COUNSEL OPINIONS***** Opinions on legal matters.				Retain until admin value ends		Destroy when administrative value ends	
CW011	DEPARTMENT/DIVISION EMPLOYEE RECORDS***** May include: various records relative to an employee for reference purposes, i.e, evaluations, training, supervisor notes, payroll information.				Retain until admin value ends.		Destroy when admin value ends.	

COUNTY OF AMADOR - RECORDS MANAGEMENT  
RECORDS RETENTION SCHEDULE (RM3)

Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006
Division	ALL COUNTY DEPARTMENTS	Page	4	of	7
Address		Records Management Approval Number (2)	000-2006-02 BOS Resolution. #06-170		

ITEM NUMBER (3)	TITLE AND DESCRIPTION OF RECORDS (4)	M e d i a (5)	V i t a l (6)	A r c h i v e (7)	RETENTION			REMARKS (11)
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CW012	FIXED ASSET RECORDS***** May include: Records relating to the control of fixed assets within the department. May include copies of fixed asset documents, disposition orders, and related records.				Retain until final disposition of fixed asset + 3 years		Destroy 3 years after final disposition of fixed asset.	Auditor-Controller retains County Official Record Copy.
CW013	FIXED ASSET INVENTORY RECORDS***** Inventory of all departmental fixed assets. List issued by Auditor-Controller.				Retain until updated list is received +1 year		Destroy after updated list is received + 1 year	Auditor-Controller retains County Official Record Copy of inventory list pursuant to Government Code Section 24051.
CW014	GRANTS - FEDERAL AND STATE GRANTS*****			X	Retain for a minimum of 6 years following closure		Retain for a minimum of 6 years following closure	If retention is depicted in Grant documents, follow as required in Grant documents unless Countywide Retention Schedule exceeds. Forward to Archives at end of retention period.
CW015	GRANTS - COMMUNITY DEVELOPMENT BLOCK GRANT AND URBAN DEVELOPMENT***** May include: application, reports, contracts, and supporting documents.			X	Retain for a minimum of 6 years following closure		Retain for a minimum of 6 years following closure	If retention is depicted in Grant documents, follow as required in Grant documents unless Countywide Retention Schedule exceeds. Forward to Archives at end of retention period.
CW016	GRANTS - UNSUCCESSFUL GRANTS***** May include: applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.			X	Retain for 3 years after rejection or withdrawal		Destroy 3 years after rejection or withdrawal	Forward to Archives at end of retention period.
CW017	MINUTES***** May include: copies of minutes of official or advisory boards or commissions, staff, safety, etc.				Retain until admin value ends.		Destroy when admin value ends.	Pursuant to Government Code Section 26201. County Official Record Copy is retained by the originating department/division.

COUNTY OF AMADOR - RECORDS MANAGEMENT  
RECORDS RETENTION SCHEDULE (RM3)

Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006	
Division	ALL COUNTY DEPARTMENTS	Page	5	of	7	Pages
Address	Records Management Approval Number (2) 000-2006-02 BOS Resolution. #06-170					

ITEM NUMBER (3)	TITLE AND DESCRIPTION OF RECORDS (4)	Media (5)	Vital (6)	Archive (7)	RETENTION			REMARKS (11)
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CW018	PERSONNEL RECRUITMENT RECORDS***** May include: copies of personnel requisitions, certification lists, interview questions and interview notes.				Retain until admin value ends.		Destroy when admin value ends.	At end of retention period, all records relevant to a charge or action against County under Equal Employment Opportunity Commission regulations (Title 29, California Federal Regulations, 1602.14) must be retained until final disposition of charge or action. Human Resources retains County Official Record copy. Confidential records. Destroy by shredding.
CW019	PHONE MESSAGES***** May include: duplicate pad				Retain until admin value ends		Destroy when administrative value ends	Retention not to exceed 3 years after the close of the FY
CW020	POLICIES AND PROCEDURES (COUNTYWIDE)*****				Retain until revised and administrative value ends		Destroy after revised and when administrative value ends	Clerk of the Board of Supervisors retains County Official Record Copy.
CW021	PUBLIC RECORDS REQUEST***** Formal request submitted by citizen for access to Agency records.				Retain 2 years following denial or completion		Destroy 2 years following denial or completion	GSA-Purchasing retains County Official Record Copy. Government Code Section 25501.5 requires 3 year retention of requisitions.
CW022	PURCHASE REQUISITIONS***** Includes copies of requisitions for supplies, equipment, printing services, and other material and services.				Retain until admin value ends		Destroy when admin value ends.	Records Management retains County Official Record Copy. Due to box locations being listed on some forms, destroy by shredding.
CW023	RECORD DESTRUCTION DOCUMENTATION (RM6)***** Includes Authorization for Records Destruction and other supporting information.				Retain CFY + 3 years		Destroy after CFY + 3 years	Records Management retains County Official Record Copy.
CW024	RECORDS MANAGEMENT DOCUMENTS (RM1)***** Includes Records Inventory Worksheet.				Retain CFY + 3 years		Destroy after CFY + 3 years	

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RECORDS RETENTION SCHEDULE (RM3)

Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006
Division	ALL COUNTY DEPARTMENTS	Page	6	of	7
Address		Records Management Approval Number (2)	000-2006-02 BOS Resolution. #06-170		

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CW025	RECORDS MANAGEMENT DOCUMENTS (RM2, RM3, RM4, & RM5)***** Includes Records Transfer Lists, Retention Schedules, Request for Approval of Records Retention Schedule, and Records Request forms.				Retain until admin value ends or schedule is superseded		Destroy after admin value ends or schedule is superseded	Records Management retains County Official Record Copy. Due to box locations being listed on some forms, destroy by shredding.
CW026	REFERENCE LIBRARY***** Contains published and non-published materials, including manuals, codes and regulations, catalogs, journals, and other material.				Until obsolete or admin value ends		Destroy when obsolete or admin value ends	
CW027	RECORDINGS***** Includes tape recordings or stenographers' notes of board or commission meetings.			X	Retain CY + 3 year after certification		Destroy after CY + 3 after certification	
CW028	TRANSITORY RECORDS ***** Contains records which may be destroyed at any time due to their temporary and nonessential nature. This includes, but is not limited to, the following: Preliminary drafts of correspondence, reports and other documents; notes, worksheets and other materials not kept in the regular course of business; duplicate copies of documents used for reference only; transmittal letters and routing slips; notices of meetings and other events; brochures, newsletters, and other publications.				Retain until admin/-reference value ends		Destroy when admin/reference value ends	

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Department	ALL COUNTY DEPARTMENTS	Schedule Number (1)	02	Date	06/13/2006
Division	ALL COUNTY DEPARTMENTS	Page	7 of 7	Pages	
Address		Records Management Approval Number (2) 000-2006-02 BOS Resolution. #06-170			

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CW029	WORK REQUISITIONS***** May include: forms and correspondence relating to requests for alterations, assistance, repairs, improvements, construction				Retain until admin value ends		Destroy when administrative value ends	County Official Record Copy is retained by the Department providing the service.
CW030	WORKERS' COMPENSATION CLAIM FILES***** Includes claim forms, employer's report, and various investigative and legal reports. Retained by Agency for reference only.				Retain until admin value ends		Destroy when administrative value ends	Risk Management retains County Official Record Copy. Confidential Records. Destroy by shredding.

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RECORDS RETENTION SCHEDULE (RM3)

INSTRUCTIONS

- 1) **Schedule Number.** Each department should establish its own system of numbering schedules. Enter this number on each page.
- 2) **Records Management Approval Number.** Please leave this space blank. Records Management will assign a number and return a copy of the Records Retention Schedule (RM3) upon approval by the Board of Supervisors.
- 3) **Item Number.** Item numbers must be sequential and begin with number 1 on the first page.
- 4) **Title and Description of Records.** Exact title of the records series must be entered here. DO NOT DELETE records for a discontinued series until all such records have been destroyed or ownership transferred to another department. A description must be included if the title is not sufficiently descriptive to explain the contents to someone unfamiliar with the records. An acronym must be spelled out in full the first time it is identified on the schedule.
- 5) **Media.** Enter the appropriate code for each type of record: P-paper (except computer printout); C-computer printout; M-magnetic or electronic (computer tapes or discs, or word processing discs); D-diazo (working copy) microfilm or microfiche; S-silver (master copy) microfilm or microfiche; F-floppy disk; O-optical disk. A listing for records received in one media and converted to another media, must include a retention period for each media.
- 6) **Vital.** Enter an "X" if this listing is vital (essential) to department operations. An "X" indicates that some special method of protection from loss is required. The special method of protection must be noted under REMARKS.
- 7) **Archives.** Please leave this space blank. The Archivist will mark this space with an "X", if applicable.
- 8) **Office Retention.** Enter the length of time records will be retained in the office. For records such as active tax accounts, enter the word "Active" in column 8. Then enter the length of time (if any) the records will be held in office space when the records are no longer active. Column 11 needs to state the event, which terminates the active life of the records.
- 9) **Records Center Retention.** Enter the length of time records will be retained in the Records Center. Records should be retained in the Records Center when they are not being referenced enough to warrant their storage in the office but must still be retained for a period of time or permanently. Permanent retention must be required by law. If law does not dictate permanent retention, records series shall be re-evaluated every five (5) years.
- 10) **Total Retention.** Enter the total number of years from Columns 8 and 9.
- 11) **Remarks.** Enter any information, which will explain or clarify treatment of the records. Other helpful information includes, but is not limited to:
  - a. Events that trigger purging, updating or transferring records, or that terminates active status.
  - b. Cross references to previous retention schedules.
  - c. Type of destruction required when the records have reached the end of the retention period.
  - d. Authority that exempts disclosure of information to the public.