

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

Department	Health and Human Services Agency	Schedule Number (1)	02	Date	10/24/06
Division	Mental Health	Page	2 of 2	Pages	
Address	1001 Broadway, Ste 201 Jackson, CA 95642	Records Management Approval Number (2)	4111-2006-02 BOS Resolution: 06-317		

(3) ITEM NUMBER	(4) TITLE AND DESCRIPTION OF RECORDS	M e d i a (5)	V i t a l (6)	A r c h i v e (7)	RETENTION			(11) REMARKS
					OFFICE (8)	RC (9)	TOTAL (10)	
01	CLIENT RECORDS***** May include: Progress Notes, Service Plans, Opening & Closing Forms, Medication Notes & Logs, Medication Consent Forms, Lab Results, UMDAP, Medi-Cal Eligibility information, copy of Medi-Cal and/or Insurance cards, Agreement for Services, correspondence, drawings, photos	P			CY + 3 years following closure	4 years	CY + 7 years following closure	Pursuant to Mental Health General Requirements Certification Standards (6/8/93) and 22 CCR 70751(5)(c), records may be destroyed 1 year after the minor has reached the age of 18, but in no case less than seven (7) years following closure. Records shall also comply with HIPAA. Confidential Records. Destroy by shredding.
02	FISCAL RECORDS***** May include: budget line files and revenue records, MediCal, Insurance and Client Claims, Payments and Explanation of Benefits, Fiscal Year Cost Report Files and Statistical Clinic and Client Data	P			CY + 1 year	6 years	CY + 7 year	Pursuant to Mental Health General Requirements Certification Standards (6/8/93) and 22 CCR 70751(5)(c) Confidential Records. Destroy by shredding.

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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.