

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

Department	Health and Human Services Agency	Schedule Number (1)	03	Date	12/7/07
Division	Alcohol and Drug Services	Page	1 of 3	Pages	
Address	10877 Conductor Blvd. Sutter Creek, CA 95685	Records Management Approval Number (2)	4003-2008-03 BOS Approved: 01/08/2008		

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: Destruction of duplicate copies is authorized pursuant to Government Code Section 26201. Pursuant to Government Code Section 26202, some records more than two years old may be destroyed. 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. County Archives shall provide access to archived County records in accordance with applicable federal and State statutes and regulations and County ordinances and policies. 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. This retention schedule supersedes all previously approved retention schedules.							"CY" = Current Year "HIPAA" = Health Insurance Portability and Accountability Act

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ITEM NUMBER (3)	TITLE AND DESCRIPTION OF RECORDS (4)	Media (5)	Volume (6)	Archive (7)	RETENTION			REMARKS (11)
					OFFICE (8)	RC (9)	TOTAL (10)	
CW008	CONTRACTS AND AGREEMENTS RECORDS :***** 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.	P			2 years following expiration	4 years	Destroy 6 years following expiration	Clerk of the Board of Supervisors retains County Official Record Copy. See California Code of Civil Procedure §337. Pursuant to HIPAA, records will be maintained for 6 years following the year of expiration.
01	DRINKING DRIVING PROGRAM CLIENT FILES***** May include: Correspondence, DMV Forms, Court Documents, Group Attendance, Counseling Notes.	P			2 years following completion	4 years	6 years following completion	Pursuant to Alcohol and/or other Drug Program Certification Standards, records may be destroyed 3 years following closure. Pursuant to HIPAA, records will be retained for 6 years following the year of completion. Confidential Records. Destroy by shredding.
02	INDIVIDUAL COUNSELING CLIENT FILES***** May include: Client correspondence, DMV Certificates, Court records, and all documentation relative to client.	P			1 year following completion	5 years	6 years following completion	Pursuant to Alcohol and/or other Drug Program Certification Standards, records may be destroyed 3 years following closure. Pursuant to HIPAA, records will be retained for 6 years following the year of completion. Confidential Records. Destroy by shredding.

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					OFFICE	RC	TOTAL	
(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
03	PERINATAL CLIENT FILES***** May include: correspondence, court documents, group attendance, counseling notes	P			2 years following completion	4 years	6 years following completion	Pursuant to Title 9, Rehabilitative and Development Services, records may be destroyed 48 months following the completion of services. Pursuant to HIPAA, records will be retained for 6 years following the year of completion. Confidential Records. Destroy by shredding.
04	FISCAL (Client)***** May include: copies of: deposit authorizations, official county receipts, bank statements and reconciliations, interoffice & outside billings for services provided by County offices; and 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	P			1 years following closure	5 years	6 years following closure	Pursuant to Alcohol and/or other Drug Program Certification Standards, records may be destroyed 3 years following closure. Pursuant to HIPAA, records will be retained for 6 years following the year of completion. Some of these records may have client information, therefore, records are considered: Confidential Records. Destroy by shredding.
05	FISCAL (Fiscal Division records)***** May include: budget line files, revenue records, building expenses, billing statements	P			CY + 1 year	5 years	CY + 6 years	Pursuant to Alcohol and/or other Drug Program Certification Standards, records may be destroyed 3 years following closure. To insure client information confidentiality, records are considered: 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.